

The Ohio State University

Office of Academic Affairs

**Policies and Procedures
Handbook**



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Promotion and Tenure

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Introduction

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This handbook contains the policies and procedures promulgated by the Office of Academic Affairs. It is updated every spring or in response to a change to the Rules of the University Faculty and Bylaws of the Board of Trustees.

The handbook is divided into three major sections—one of particular interest to faculty, one for administrators, and one on promotion and tenure.

Revisions and edits

Each section includes the dates the last time the section was revised and edited. Edits do not represent substantive changes to that section. Thus the information revised 09/01/99 is still current, since no revision has been needed since then.

Rules of the University Faculty

When referring the reader to specific language in the Rules of the University Faculty, this handbook will provide the web reference for the index housed on the Board of Trustees website (<http://trustees.osu.edu/ChapIndex/index.php>) and the chapter and section numbers that will allow the reader to find the specific reference.

Examples

Examples, provided in parentheses, are exemplary only. They do not represent an exhaustive list.

Book 1 Administrators

Chapter 1 Governance Documents

1.0 Pattern of administration

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Edited: 08/01/07

1.0.1 Requirements

Revised: 08/01/07

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Faculty Rule 3335-3-35 (<http://trustees.osu.edu/ChapIndex/index.php>) requires chairs of departments and directors of schools (hereafter, chair) to develop the pattern of administration (POA) document in consultation with the faculty. It does not require formal faculty acceptance of the document although most units provide for such a process. It is obviously very desirable for the chair and faculty to reach consensus on the document; however, where divisions in the unit make consensus or formal faculty approval impossible, the chair may have to implement a pattern without consensus.

The Office of Academic Affairs (OAA) expects newly appointed or reappointed chairs and directors to complete the consultation process outlined in the current POA and to have in place a new or reaffirmed POA that has been approved by the dean and by OAA no later than the end of the academic year in which they are appointed or reappointed. The current POA remains in effect until a new or revised one is approved by OAA.

OAA also expects newly appointed or reappointed deans to complete the consultation process outlined in the current POA and to have in place a new or reaffirmed POA that has been approved by OAA no later than the end of the academic year in which they are appointed or reappointed. The current POA remains in effect until a new or revised one is approved by OAA.

The minimum content required for department POAs is described in Faculty Rule 3335-3-35 (<http://trustees.osu.edu/ChapIndex/index.php>). OAA encourages colleges to include similar content in their POAs; content that OAA requires of colleges is described in Section 1.0.2 of this chapter.

The POA should strike a balance between assuring active and meaningful involvement of the faculty in the governance of the unit and recognizing that the chair has ultimate responsibility for the unit's administration.

A unit may develop advisory bodies to consider and make recommendations on any issue requiring a decision, from course assignments to salary recommendations, but the chair must retain responsibility for the final decision or recommendation to a higher level of administration. The chair has ultimate responsibility for allocating the unit's resources in a way that makes the most fiscal and programmatic sense and cannot delegate that responsibility.

Do not include in the POA content that overlaps material required in the department's APT document. Redundant content in the POA and the APT document serves no real purpose and often results in inconsistencies.

Now that all university rules and policies are available on the web, it is inadvisable for the POA to quote these extensively as such passages will not reflect later revisions to the material at the web site. In place of quoted material, the address of the web site should be provided. See Section 3.0 of this chapter on updating obsolete materials in governance documents for a summary of commonly found obsolete references that must be corrected before the document is submitted for review.

Date the first page of the POA, include a table of contents, paginate the document. In order to promote consistency across the university, follow the university's editorial style guide found at www.osu.edu/resources/styleguide.php. OAA encourages units to make their POA available on their websites.

OAA offers a suggested (not required) outline for a POA in response to chairs' requests for assistance of this kind prior to beginning work on their own pattern. The outline covers topics appropriate for most units but may not fit the needs of all, given the diversity of unit missions, structures, and cultures.

In addition there is a prototype POA found in the section on prototype documents. To the extent possible, the prototype provides actual content and language that could be adopted in its present form, or modified to better suit the particular needs of a unit. The suggested content and language are based on university rules and policies as well as on common practices that work well for many units. Chairs are strongly encouraged to follow the prototype POA.

Sections of italicized text in the prototype document are notes and comments; they should not appear in a department's POA. Highlight deviations from and additions to this prototype document when submitting the draft document to OAA for approval. Also highlight changes to the current POA.

Please note that material required in the APT document (see Section 2.0 of this chapter) is not included in the POA outline, though the APT document may be a Section within the department's POA.

1.0.2 Colleges

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Edited: 08/01/07

Colleges must include at a minimum sections on the college mission, academic rights and responsibilities, and college faculty in their POAs. They are encouraged to include sections on the organization of college services and staff, college administration, and sections on any college policies that supplement the OAA policies.

Colleges must have two committees that are not required at the department level. One is a college investigations committee, per Faculty Rule 3335-5-04 (<http://trustees.osu.edu/ChapIndex/index.php>), and the other is a salary appeals committee (see Book 2, Chapter 4, Section 2). Because business for these committees is rare, these functions may be assigned to another standing committee or the POA may establish procedures for appointing them should the need arise.

Examples of committees found in colleges across the university include committees on budget, curriculum, diversity, faculty development, graduate education, honors and scholars, library, personnel, research, technology, and undergraduate education. Most colleges have an executive committee. Many colleges have faculty advisory committees, staff advisory committees, and graduate student and undergraduate student advisory committees.

1.1 Suggested outline

Revised: 08/26/04

Edited: 08/01/07

This outline uses “department” as the example.

Pattern of Administration for the Department of XXX

- I. Introduction
- II. Department Mission
- III. Academic Rights and Responsibilities
- IV. Faculty
- V. Organization of Department Services and Staff
- VI. Overview of Departmental Administration and Decision-Making
- VII. Department Administration
 - A. Chair
 - B. Committees
- VIII. Faculty Meetings
- IX. Department Faculty Teaching Load Policy
- X. Policy on Faculty Duties and Responsibilities
- XI. Course Offerings and Teaching Schedules
- XII. Allocation of Department Resources
- XIII. Leaves and Absences
- XIV. Supplemental Compensation and Paid External Consulting Activity
- XV. Financial Conflicts of Interest
- XVI. Grievance Procedures

1.2 Department mission

Revised: 08/26/04

Edited: 08/01/07

Include the department’s academic mission. This statement must also appear in the department’s APT document unless that document is appended to the POA.

1.3 Academic rights and responsibilities

Revised: 08/01/07

Edited: 08/01/07

Include the link to the university’s reaffirmation of academic rights and responsibilities, www.oaa.osu.edu/acad_rts_respons.php.

1.4 Faculty

Revised: 08/01/07

Edited: 08/01/07

Describe who is considered a faculty member in the department for voting purposes and for purposes of consultation (if the two are different). Only regular faculty may have voting rights but departments differ in how they handle joint appointments (both salaried and non-salaried). This section could also describe who is considered a member of the graduate faculty if this information is not contained in a separate graduate handbook.

Departments with a regular clinical track (RCT) should define clinical faculty and should address what titles they will be given, what governance rights will be extended to clinical faculty, and what appointment cap is in effect. RCT faculty may not participate in or vote on tenure track P&T decisions.

Departments with a RRT should define research faculty and should address what titles they will be given and what appointment cap is in effect. RRT faculty may not participate in or vote on tenure track or clinical track P&T decisions.

1.5 Organization of department services and staff

Revised: 08/26/04

Edited: 08/01/07

OAA recommends a description of department offices and staff and their functions in larger ones with many support personnel. This section may not be necessary in small units.

1.6 Overview of departmental administration and decision-making

Revised: 08/26/04

Edited: 08/01/07

Include a statement on how department policy and program decisions are made.

1.6.1 Chair

Revised: 08/01/07

Edited: 08/01/07

Quote Faculty Rule 3335-3-35 (C) (<http://trustees.osu.edu/ChapIndex/index.php>) on responsibilities of the chair. State clearly those matters for which the chair has final authority.

If the department has other administrative positions such associate, assistant, or vice chairs or directors, describe these positions in this section.

1.6.2 Committees

Revised: 08/01/07

Edited: 08/01/07

Departments should seek a committee structure that assures that the time faculty members spend in committee work is time well spent. There is no model that fits all, or even most, units. Considerations include the number of faculty in the unit (the fewer the faculty the greater the importance of a highly efficient committee structure), the complexity of the unit's programs, and the unit culture.

Faculty time is a limited commodity and should not be consumed with administrative tasks that could reasonably be accomplished in other ways. The number of committees, their size, and their intensity of effort should be consistent with the size of the department (fewer faculty, fewer and smaller committees) and handled with good judgment regarding faculty input on the various types of business to be conducted.

Describe the unit's standing committee structure including the responsibilities of each committee, who the members are and how they are selected. State under what circumstances ad hoc committees will be formed and how they will be formed.

Departments are required to have a P&T committee made up of the unit's associate and full professors. In units with RCT faculty, associate and full professors in the clinical track may participate on P&T committees when reviewing faculty in the clinical and research tracks, but not in the tenure track.

Units are strongly advised to have a committee that can review grievances.

An increasing number of larger departments have an executive committee or faculty advisory committee, the purpose of which is to provide an efficient source of advice and consultation to the chair on a broad array of matters. Effective use of such a committee can reduce the need for single function standing committees. Members may serve by virtue of position (associate chair or graduate studies chair), by appointment, by election, or a combination of these.

Most departments have a standing committee that focuses on undergraduate curriculum and related matters, a standing committee that focuses on graduate curriculum and related matters, and a standing committee that provides administrative service for promotion and tenure (P&T) reviews. All other standing committees are specific to department needs. The chair typically appoints members to standing committees—in part to assure a fair distribution of service effort among faculty and in part to assure appropriate membership in terms of expertise, diversity, and other considerations.

Examples of committees across the university include committees on awards, curriculum, diversity, graduate admissions and recruitment, graduate studies, honors, salary, space, subfields, technology, and undergraduate studies.

Many functions occur irregularly and may be carried out by ad hoc committees. These include faculty searches and periodic curriculum review. The chair typically appoints members to ad hoc committees.

1.7 Faculty meetings

Revised: 08/26/04

Edited: 08/01/07

Cover how faculty meetings are scheduled, how faculty members are informed of meetings and how meeting agendas are established. Include what constitutes a quorum and what vote is required to approve those matters on which a vote is taken (see Section 3.1 in this chapter on quorum, voting, and abstentions).

1.8 Department faculty teaching load policy

Revised: 08/26/04

Edited: 08/01/07

Include the OAA required policy and guidelines on faculty teaching workload (see Chapter 2, Section 1.4.2 of this book). The POA should refer the reader to the OAA policy and include the unit's supplemental policies if applicable.

1.9 Policy on faculty duties and responsibilities

Revised: 08/26/04

Edited: 08/01/07

Include the OAA required policy and guidelines on faculty duties and responsibilities (see Chapter 2, Section 1.4.1 of this book). The POA should refer the reader to the OAA policy and include the unit's supplemental policies if applicable.

1.10 Course offerings and teaching schedules

Revised: 08/26/04

Edited: 08/01/07

Describe how the unit's course offering schedule (see Book 1, Chapter 2, Section 1.5) and faculty teaching schedule is developed (see Chapter 2, Section 1.4.2 of this book) The POA should refer the reader to the OAA policy and include the unit's supplemental policies if applicable.

1.11 Allocation of departmental resources

Revised: 08/26/04

Edited: 08/01/07

Describe any department policies with respect to travel funds, space assignments, and other resources other than merit salary increases, which are discussed in the appointments, promotion, and tenure (APT) document.

1.12 Leaves and absences

Revised: 08/26/04

Edited: 08/01/07

Describe any department policies that supplement college and university policies with regard to how leaves are considered and approved, and how absences from duty are handled:

- Faculty Professional Leave (FPL)
- Special Research Assignment (SRA)
- Unpaid Leave of Absence (LOA)
- Entrepreneurial Leave of Absence
- "Tenure Clock": Exclusion of Time from the Probationary Period
- Extension of the Probationary Period for Part-Time Tenure Track Faculty

If the department has no supplemental policies, this section must at least list each topic and direct the reader to Book 2, Chapter 1 in the Handbook and include the handbook's web address.

1.13 Supplemental compensation and paid external consulting activity

Revised: 08/26/04

Edited: 08/01/07

Describe any department policies that supplement college and university policies with respect to the circumstances under which supplemental compensation for university work will be considered and external professional service activities will be approved.

University policies represent upper limits on what is possible and individual departments are encouraged to consider whether amendments to these are appropriate to their circumstances.

If the department has no supplemental policies, this section must at least list each topic and direct the reader to Book 2, Chapter 1 in the Handbook and include the handbook's web address.

1.14 Financial conflicts of interest

Revised: 08/26/04

Edited: 08/01/07

Describe any department policies that supplement college and university policies with respect to reporting and managing potential financial conflicts of interest.

If the unit has no supplemental policies, this section must at least list each topic and direct the reader to Book 4 in the Handbook and include the handbook's web address.

1.15 Grievance procedures

Revised: 08/26/04

Edited: 08/01/07

Describe the department's mechanism for reviewing faculty, staff and student grievances. If the department does not have such mechanisms, it should establish them. This section should include references, including web addresses to:

- OHR Policy 1.10, Nondiscrimination policy (www.hr.osu.edu/policy/index.aspx)
- OHR Policy 1.15, Sexual harassment policy (www.hr.osu.edu/policy/index.aspx)
- anonymous reporting line
(https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7689)
- hearing procedures for complaints against faculty, Faculty Rule 3335-5-04
(www.trustees.osu.edu/ChapIndex/index.php)
- Code of Student Conduct (www.trustees.osu.edu/Rules%2023/index.php)

Tenure appeals and salary grievance procedures should be covered in the department's APT document.

2.0 Appointments, promotion & tenure document

Revised: 03/25/05

Edited: 08/01/07

2.0.1 Requirements

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-6-02 and Faculty Rule 3335-3-35 (<http://trustees.osu.edu/ChapIndex/index.php>) requires that every TIU have an APT document describing the criteria and procedures for making recommendations regarding the appointment, advancement, and reward of faculty. This document is crucial to establishing and upholding the quality of the unit's academic endeavors. Development or revision of the document provides an opportunity for the TIU to consider:

- its mission in the context of college and university missions
- the quality of its programs and its standing among comparable units in peer institutions
- how the mission and program quality affect faculty appointments, advancement, and reward

The document should communicate department goals in a way that is clear both within and beyond the department and should state explicitly the qualities sought by the department in new faculty and the expectations held for appointed faculty.

The unit APT document must:

- be reviewed and either reaffirmed or revised during the first year of a TIU head's appointment or reappointment
- be approved by the dean and OAA
- follow the required outline exactly

Because a common format is needed to facilitate reference to APT documents by P&T reviewing bodies, follow the required outline exactly as presented. Units do not have the option of modifying this outline.

Refer to and be consistent with the Rules of the University Faculty (<http://trustees.osu.edu/ChapIndex/index.php>). It is inadvisable to quote rules extensively, however, since such passages will not reflect later revisions. In place of quoted material, provide the address of the web site of the BOT, Rules of the University Faculty (www.trustees.osu.edu/ChapIndex/index.php) and the rule number.

Include current references to all university titles, rules, policies, offices and entities. All such references must be checked during the required governance document review in the first year of a TIU head's appointment or reappointment. See Section 3.0 of this chapter on updating obsolete material in TIU governance documents for a summary of commonly found obsolete references that must be corrected before the document is submitted for review.

Date the first page, include a table of contents, and paginate the APT document. In order to promote consistency across the university, follow the university's editorial style guide at www.osu.edu/resources/styleguide.php. OAA encourages colleges to make their POA available on their websites.

A prototype APT document can be found in the section on prototype documents. To the extent possible, the prototype provides actual content and language that could be adopted in its present form, or modified to better suit the particular needs of a unit. The suggested content and language are based on university rules and policies as well as on common practices that work well for many units. While OAA encourages TIU heads to follow the prototype APT document whenever possible, OAA acknowledges that wholesale adoption of the prototype is inconsistent with each unit's need for a thoughtfully crafted and clear document that is specific to its discipline and supports its unique mission.

Sections of italicized text in the prototype document are notes and comments; they should not appear in a department's APT document. Highlight deviations from and additions to this prototype document when submitting the draft document to OAA for approval. Also highlight changes to the current APT document.

2.0.2 College APT documents

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/ChapIndex/index.php>) requires each college to have an APT document.

OAA expects newly appointed or reappointed deans to complete the consultation process outlined in the current POA and to have in place a new or reaffirmed APT document that has been approved by OAA no later than the end of the academic year in which they were appointed or reappointed. The current APT document remains in effect until a new or reaffirmed one is approved by OAA.

College APT documents should describe, in qualitative terms, the college's criteria for appointments, promotion, and tenure within the context of the college's mission. The document should also describe the college's procedures for conducting college level reviews for P&T.

2.1 Required outline

Revised: 08/01/07

Edited: 08/01/07

This outline uses "department" as the example. Only include sections on faculty at a regional campus if your unit has regional campus faculty members. Only include sections on RCT and RRT faculty if your unit has an approved track.

Appointments, Promotion, and Tenure Criteria and Procedures for the Department of XXX

- I. Table of Contents
- II. Preamble
- III. Department Mission
- IV. Appointments
 - A. Criteria
 - 1. Regular tenure track faculty
 - 2. Regular tenure track faculty at regional campus
 - 3. Regular clinical track faculty
 - 4. Regular research track faculty
 - 5. Auxiliary faculty
 - 6. Courtesy appointments for regular faculty
 - B. Procedures
 - 1. Regular tenure track faculty
 - 2. Regular tenure track faculty at a regional campus
 - 3. Regular clinical track faculty
 - 4. Regular research track faculty
 - 5. Auxiliary faculty
 - 6. Courtesy appointments for regular faculty
- V. Annual Review Procedures
 - A. Probationary tenure track faculty
 - 1. Regional campus faculty
 - 2. Fourth-year Review
 - 3. Exclusion of time from probationary period
 - B. Tenured faculty
 - C. Tenured regional campus faculty
 - D. Regular clinical faculty
 - E. Regular research track faculty

- VI. Merit salary increases and other rewards
 - A. Criteria
 - B. Procedures
 - C. Documentation

- VII. Promotion and Tenure and Promotion reviews
 - A. Criteria
 - 1. Promotion to associate professor with tenure
 - 2. Promotion to professor
 - 3. Regional campus faculty
 - 4. Promotion of regular clinical track faculty
 - 5. Promotion of regular research track faculty

 - B. Procedures
 - 1. Regular tenure track faculty
 - 2. Regular tenure track faculty at a regional campus
 - 3. Regular clinical track faculty
 - 4. Regular research track faculty
 - 5. Auxiliary faculty
 - 6. Courtesy appointments

 - C. Documentation
 - 1. Teaching
 - 2. Scholarship
 - 3. Service

- VIII. Appeals

- IX. Seventh-year review

2.2 Preamble

Revised: 03/25/05

Edited: 08/01/07

Explain the document's purpose and its relationship to other documents that contain P&T policies and procedures.

2.3 Department mission

Revised: 03/25/05

Edited: 08/01/07

The unit's academic mission statement should:

- identify the audiences of the unit's teaching, research, and service
- explain how these audiences affect the nature of its teaching, research and service
- establish the relative importance of the various kinds of faculty effort in the context of the mission

As part of its mission the unit should set the goal of increasing the quality of its endeavors. In addition, the unit should assure that its policy on faculty duties and responsibilities (see Chapter 2, Section 1.4.1 of

this book) included in its POA is consistent with its mission and its criteria for appointments, promotion, and tenure and for merit salary increases and other rewards.

2.4 Appointments

Revised: 03/25/05

Edited: 08/01/07

2.4.1 Criteria

Revised: 03/25/05

Edited: 08/01/07

See Book 1, Chapter 3 for the definition and uses of faculty titles.

2.4.1.1 Regular tenure track faculty

Revised: 03/25/05

Edited: 08/01/07

This section should establish criteria for appointment at the rank of assistant professor. Criteria for appointment at higher ranks should be consistent with the criteria for promotion to those ranks established in this APT document.

The unit is encouraged to commit itself to making only faculty appointments that enhance or have strong potential to enhance the quality of the unit. Refer to Faculty Rule 3335-6-02

(<http://trustees.osu.edu/ChapIndex/index.php>) regarding criteria for appointment, reappointment, and promotion and tenure, and to Faculty Rule 3335-6-03 (<http://trustees.osu.edu/ChapIndex/index.php>) regarding probationary service and duration of appointments for regular tenure track (RTT) faculty.

2.4.1.2 Regular tenure track faculty at a regional campus

Revised: 03/25/05

Edited: 08/01/07

Criteria for appointment at each rank should reflect the greater relative importance of teaching on the regional campus compared to research.

2.4.1.3 Regular clinical track faculty

Revised: 03/25/05

Edited: 08/01/07

This section and all subsequent sections pertaining to RCT faculty are relevant only to academic units authorized to make such appointments (see Faculty Rule 3335-7 (<http://trustees.osu.edu/ChapIndex/index.php>)).

This section should establish criteria for appointment at the rank of instructor and assistant professor. Criteria for appointment at higher ranks should be consistent with the criteria for promotion to those ranks established in this APT document.

The suggested appointment criteria included in the prototype document are somewhat generic since the nature of RCT appointments varies according to the mission of the unit. The unit should strive for an equivalent or greater level of detail in adapting the suggested content to its particular needs. For each rank, the document should spell out the required practice criteria, such as:

- required licensure/certification
- teaching experience related to the teaching areas to be assigned
- meeting the promotion criteria to each rank

2.4.1.4 Regular research track faculty

Revised: 03/25/05

Edited: 08/01/07

This section and all subsequent sections pertaining to RRT faculty are relevant only to academic units authorized to make such appointments (see Faculty Rule 3335-7 (<http://trustees.osu.edu/ChapIndex/index.php>)).

This section should establish criteria for appointment at the rank of assistant professor. Criteria for appointment at higher ranks should be consistent with the criteria for promotion to those ranks established in this APT document.

2.4.1.5 Auxiliary faculty

Revised: 03/25/05

Edited: 08/01/07

This section should establish criteria for appointment and reappointment of compensated and uncompensated auxiliary faculty, with criteria for appointment at each rank comparable to the criteria for the RTT or regular clinical ranks. These criteria will also serve as a basis for evaluating the occasional auxiliary faculty member who desires promotion. Auxiliary appointments may be made for only one year at a time and thus require formal annual renewal if they are to be continued. Visiting faculty appointments may be renewed for only three consecutive years.

Units should establish guidelines for the circumstances in which auxiliary faculty may identify themselves as Ohio State faculty.

Definitions and policies for auxiliary faculty can be found in Faculty Rule 3335-5-19 (<http://trustees.osu.edu/ChapIndex/index.php>).

Promotion procedures for auxiliary faculty can be found in Book 3, on guidelines, procedures and dossier outline.

The types of auxiliary appointments are as follows:

- clinical titles (compensated or uncompensated)—providers of clinical teaching and patient care in the health sciences
 - clinical instructor, clinical assistant professor, clinical associate professor, clinical professor
- regular titles 1-49% (compensated)
 - instructor, assistant professor, associate professor, professor
- regular titles 0% (uncompensated)
 - instructor, assistant professor, associate professor, professor

- visiting titles (compensated or uncompensated)—temporary faculty and persons on leave from other academic institutions
 - visiting instructor, visiting assistant professor, visiting associate professor, visiting professor
- adjunct titles (uncompensated)
 - adjunct instructor, adjunct assistant professor, adjunct associate professor, adjunct professor
- lecturer and senior lecturer (compensated)

Uncompensated auxiliary appointments are appropriate only for individuals who provide substantial service to the academic mission of the appointing unit. Units should establish guidelines for the circumstances in which such auxiliary faculty may identify themselves as Ohio State faculty. Abuses of auxiliary faculty titles occur.

2.4.1.6 Courtesy appointments for regular faculty

Revised: 03/25/05

Edited: 08/01/07

This section should establish criteria for making and continuing courtesy appointments.

Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic work of the department. Criteria should include the expectations for such involvement. Unlike auxiliary appointments, courtesy appointments do not require formal annual renewal, but continuation of the appointment should reflect ongoing involvement.

2.4.2 Procedures

Revised: 03/25/05

Edited: 08/01/07

2.4.2.1 Regular tenure track faculty

Revised: 03/25/05

Edited: 08/01/07

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions to this policy must be submitted to OAA. Search procedures must entail substantial faculty involvement and be consistent with university policies as set forth in the OHR Guide to Effective Searches (<http://hr.osu.edu/hrpubs/guidesearches.pdf>).

Appointments at senior rank in the RTT, RCT, and RRT require prior approval by the college dean and OAA.

Appointments at junior rank with prior service credit require prior approval by the college dean and OAA.

The required documentation for appointments at senior rank and junior appointments with prior service credit can be found in Book 1, Chapter 5, Section 2.0.

2.4.2.2 Regular tenure track faculty at a regional campus

Revised: 03/25/05

Edited: 08/01/07

The regional campus has primary responsibility for determining the position description for a faculty search but it should consult with and reach agreement on the description with the chair of the department or director of the school that will serve as the TIU for the appointee. The search committee for the position should include representation from both the regional campus and the prospective TIU.

Candidates should be interviewed by, at a minimum, the regional campus dean, the TIU head, and either the search committee or broader representation of both faculties. A hiring decision requires agreement on the part of the TIU head and regional campus dean. Negotiations with a candidate should not begin without such agreement, and the letter of offer must be signed both by the TIU head and the regional campus dean.

2.4.2.3 Regular clinical track faculty

Revised: 03/25/05

Edited: 08/01/07

If the unit is authorized to have RCT faculty, this section should establish the procedures for appointment of such faculty.

2.4.2.4 Regular research track faculty

Revised: 03/25/05

Edited: 08/01/07

If the unit has voted to have RRT faculty, this section should establish the procedures for appointment of such faculty.

2.4.2.5 Auxiliary faculty

Revised: 03/25/05

Edited: 08/01/07

Describe how the decision is made to initiate or not to renew an auxiliary appointment.

2.4.2.6 Courtesy appointments for regular faculty

Revised: 03/25/05

Edited: 08/01/07

State how the decision is made to initiate and terminate a courtesy appointment for a faculty member from another TIU.

2.5 Annual reviews procedures

Revised: 03/25/05

Edited: 08/01/07

Explain the procedures for the annual review of each category of faculty found in the department. Every faculty member must have an annual performance review.

The means for carrying out the review will vary according to the APT document and the traditions of the various disciplines within the unit.

2.5.1 Probationary regular tenure track faculty

Revised: 03/25/05

Edited: 08/01/07

Refer to Faculty Rule 3335-6-03 (<http://trustees.osu.edu/ChapIndex/index.php>) on probationary service and duration of appointments for RTT faculty. The procedures for faculty participation in the annual review of probationary tenure track faculty should be described in this section, including provision for handling differing assessments by the unit faculty and the chair. Such differences should be resolved so that conflicting advice is not offered to a probationary faculty member.

If the unit provides for a faculty vote on reappointment of probationary faculty, the quorum needed for a vote and the vote required for a positive recommendation should be stated here. A nonrenewal recommendation during the first-, second-, third- or fifth-year review must result from application of Fourth-year Review procedures.

See Book 2, Chapter 2 for OAA guidelines on the annual review process of probationary tenure track faculty.

2.5.1.1 Probationary regular tenure track faculty at a regional campus

Revised: 03/25/05

Edited: 08/01/07

See Book 2, Chapter 2 for OAA guidelines on the annual review process of probationary tenure track faculty.

2.5.1.2 Fourth-year review

Revised: 03/25/05

Edited: 08/01/07

See Book 2, Chapter 2 for OAA guidelines on the fourth-year review process of probationary tenure track faculty.

2.5.1.3 Exclusion of time from the probationary period

Revised: 03/25/05

Edited: 08/01/07

See Book 2, Chapter 1, Section 5.0 for OAA guidelines on the exclusion of time from the probationary period of probationary tenure track faculty.

2.5.2 Regular tenured faculty

Revised: 03/25/05

Edited: 08/01/07

See Chapter 6 for OAA guidelines on the review of tenured faculty.

2.5.3 Regular tenured faculty at a regional campus

Revised: 03/25/05

Edited: 08/01/07

See Book 2, Chapter 2 for OAA guidelines on the review of tenured faculty at a regional campus.

2.5.4 Regular clinical track faculty

Revised: 03/25/05

Edited: 08/01/07

See Book 2, Chapter 2 for OAA guidelines on the review of RCT faculty.

2.5.5 Regular research track faculty

Revised: 03/25/05

Edited: 08/01/07

See Book 2, Chapter 2 for OAA guidelines on the review of RRT faculty.

2.5.6 Auxiliary faculty

Revised: 03/25/05

Edited: 08/01/07

See Book 3, Section 6.0 for OAA guidelines on the review of auxiliary faculty.

2.6 Merit salary increases and other rewards

Revised: 03/25/05

Edited: 08/01/07

2.6.1 Criteria

Revised: 03/25/05

Edited: 08/01/07

Clearly state the criteria for salary increases and any other performance-based rewards (see Book 1, Chapter 6).

2.6.2 Procedures

Revised: 03/25/05

Edited: 08/01/07

State the procedures for determining salary recommendations and recommendations for other rewards.

2.6.3 Documentation

Revised: 03/25/05

Edited: 08/01/07

It is essential that the unit require adequate documentation of faculty performance in teaching, scholarship, and service. This section should list the documents that faculty must submit for annual reviews and consideration for salary increases, but should not provide detail about how the unit evaluates various aspects of performance. Such content belongs under “Documentation” in the following section, unless the content differs from the way in which performance is evaluated in promotion & tenure and promotion reviews.

2.7 Promotion and tenure and promotion reviews

Revised: 03/25/05

Edited: 08/01/07

2.7.1 Criteria

Revised: 03/25/05

Edited: 08/01/07

Criteria are general statements about the quality of performance in teaching, research and service expected for promotion and tenure or promotion. Teaching, research and service are not in themselves criteria, nor are teaching evaluations or publications. A list of evidence to be examined belongs under “Documentation” below.

Although criteria will vary both according to unit mission and the specific responsibilities of each faculty member, every candidate should be held to a standard of excellence in all aspects of performance. The pattern of performance over the probationary period should yield a high degree of confidence that the candidate will continue to develop professionally.

Above all, candidates should be held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching should be required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities. Units may also, if they wish, define excellence in teaching, research, and service to include professional ethical conduct consistent with the American Association of University Professors' Statement on Professional Ethics.

2.7.1.1 Citizenship, collegiality, and professional ethical behavior

Revised: 07/26/04

Edited: 08/01/07

Citizenship, collegiality, or professional ethical behavior may not be established as a fourth criterion in P&T reviews independent of teaching, research, and service. On request of the Senate Rules Committee, in May 2000 OAA communicated that the Faculty Rules provide solely for review of teaching, research and service in P&T reviews. Review bodies may consider collegiality and professional ethical behavior in the context of evaluating the three main areas of activity, but may not use that issue as an independent category.

2.7.1.2 Promotion to associate professor with tenure

Revised: 03/25/05

Edited: 08/01/07

See Faculty Rule 3335-6-02 (B) and (D) (<http://trustees.osu.edu/ChapIndex/index.php>). Note that according to this rule tenure will not be awarded below the rank of associate professor. The unit should establish and exercise very high standards for the awarding of tenure since a positive tenure decision has a powerful impact on the quality and future of the unit.

2.7.1.3 Promotion to professor

Revised: 03/25/05

Edited: 08/01/07

See Faculty Rule 3335-6-02 (C) (<http://trustees.osu.edu/ChapIndex/index.php>). A faculty member ready for promotion to professor should be a role model for senior faculty, for students, and for the profession. While assessment should take place in relation to specific assigned responsibilities, exceptional performance in these responsibilities should be required.

2.7.1.4 Regional campus faculty

Revised: 03/25/05

Edited: 08/01/07

Units with regional campus faculty must state the criteria for their promotion to associate professor with tenure and for their promotion to professor. Criteria for regional campus faculty should be developed in consultation with the unit's regional campus faculty and the deans of the regional campuses. These criteria must reflect the following considerations:

- The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities.
- Regional campus faculty are expected to establish a program of high-quality scholarly activity, but the character and quantity of that activity may differ from that of Columbus campus faculty because of the weight of other responsibilities and because of lack of access to comparable resources (regional campus faculty do not have graduate teaching associates to assist them in their teaching or generally have access to research facilities comparable to those of Columbus-based faculty).
- Teaching and service responsibilities of regional campus faculty are often more substantial than those of Columbus-based faculty.

2.7.1.5 Regular clinical track faculty

Revised: 03/25/05

Edited: 08/01/07

Because RCT faculty may be hired at the rank of instructor, this section should describe the criteria for promotion to assistant professor, associate professor, and professor of clinical [xxx]. These criteria should reflect the fact that RCT faculty members are primarily engaged in patient care or professional practices and clinical instruction. Any expectations for scholarly work should be substantively different from those for RTT faculty.

The suggested promotion criteria in the prototype APT document are somewhat generic since the nature of RCT appointments varies according to the mission of the unit. The unit should strive for an equivalent or greater level of detail in adapting the suggested content to its particular needs. For each rank, the document should spell out the required practice criteria, such as:

- required licensure/certification
- teaching experience related to the teaching areas to be assigned
- meeting the promotion criteria to each rank

2.7.1.6 Regular research track faculty

Revised: 03/25/05

Edited: 08/01/07

Because the entry rank at which RRT faculty may be hired is assistant professor, this section should describe the criteria for promotion to research associate professor and research professor. These criteria should reflect the fact that RRT faculty members are primarily engaged in research.

2.7.2 Procedures

Revised: 03/25/05

Edited: 08/01/07

The unit's procedures for promotion & tenure and promotion reviews must be consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/ChapIndex/index.php>). This rule provides general

information but does not delineate all aspects of the review process. Listed below are unit-specific issues that should be addressed in this section to supplement Faculty Rule 3335-6-04 (<http://trustees.osu.edu/ChapIndex/index.php>).

Whatever the unit's procedures, they should assure a thorough and critical review. A unit that conceptualizes a review as advocacy of the candidate, as building rather than evaluating a case, is not acting in its own best interests. Advocacy of a weak candidate not only sends an unfavorable message about the unit to higher level review bodies but, if successful, may in the long term be detrimental to the unit.

2.7.2.1 Regional campus faculty

Revised: 03/25/05

Edited: 08/01/07

The TIU's procedures for deciding when to review tenured faculty members for promotion are to be applied to tenured regional campus faculty.

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. The regional campus review focuses on teaching and service. The regional campus dean forwards the report and recommendation of the regional campus review to the TIU head, from which point the review follows the same course as all P&T reviews.

2.7.2.2 Non-mandatory reviews

Revised: 03/25/05

Edited: 08/01/07

Covers how the unit will determine which faculty members to review for promotion in rank or for non-mandatory promotion and tenure. Screening reviews are encouraged since premature reviews are costly in many ways and should be avoided. Faculty Rule 3335-6-04 (A) (3) (<http://trustees.osu.edu/ChapIndex/index.php>) states that a unit may establish screening procedures with the limitation that a tenured faculty member who wants to be reviewed cannot be denied consideration for promotion for more than three consecutive years.

2.7.2.3 Conflict of interest

Revised: 03/25/05

Edited: 08/01/07

Covers how the unit will determine when a faculty member should not participate in a particular review because of a conflict of interest. At a minimum, faculty with a familial or comparable relationship with a candidate should not participate in a review of that candidate. In addition, a close professional relationship may give rise to a conflict of interest, such as when the faculty member is co-author on a significant portion of the candidate's publications, has served as the candidate's dissertation advisor, or is dependent in some way on the candidate's professional services.

Include in this section which administrator or body (the TIU head or P&T committee chair) will be authorized to remove from the review a faculty member with a conflict of interest, when the faculty member refuses to withdraw voluntarily.

2.7.2.4 External evaluation

Revised: 03/25/05

Edited: 08/01/07

Describe how a slate of potential evaluators is determined, who is responsible for contacting them, and the timetable for requesting external evaluations. Include what aspects of performance these persons are asked to evaluate and what materials are provided to them. See Book 3, for advice on these matters.

If the candidate is asked to provide names of external evaluators, the number of names suggested by the candidate should be restricted to three or four, to avoid limiting the number of credible evaluators available to be suggested by others.

2.7.2.5 Mechanics

Revised: 03/25/05

Edited: 08/01/07

Describe the roles of the candidate, the P&T committee (if the committee is not composed of all of the eligible faculty members), the eligible faculty, and the TIU head. It also states what proportion of eligible faculty must vote positively on a case for the faculty recommendation to be considered positive.

- A P&T committee that is not a committee of all eligible faculty members does not vote on or otherwise make recommendations on cases.
- Specify a minimum percentage of eligible faculty (OAA suggests 2/3) who must vote in order for a vote to be valid. A vote is defined as a "yes" or "no" vote—abstentions are not votes, according to Robert's Rules of Order. See Section 3.1 in this chapter on quorum, voting, and abstentions.
- To permit faculty who did not attend the discussion of a particular case to vote on that case is inconsistent with the requirement that such a discussion be held. The presumption is that the meeting to discuss a case is important to deciding the matter. Faculty members who are not present cannot vote *in absentia* unless they participate by conference call.

Include the approximate timing for each stage of the review and who is responsible for verifying the accuracy of citations and other aspects of candidates' dossiers.

2.7.3 Documentation

Revised: 03/25/05

Edited: 08/01/07

Describe in detail the specific documentation that will be examined in assessing performance. This documentation will vary according to the field of study and the unit's mission. The OAA core dossier outline (See Book 3) serves as a basic standard for documentation, but the unit is not limited to assessing the stated items.

The unit may weigh forms of documentation differentially as appropriate to its mission and to the responsibilities of the candidate. While some possible forms of documentation are described below under the headings of teaching, scholarship, and service, these headings are not intended to define teaching, scholarship, and service. In some fields of study or in some instances, an item listed in one area may be considered a reflection of performance in another area.

2.7.3.1 Teaching

Revised: 03/25/05

Edited: 08/01/07

OAA requires the evaluation of instruction in all courses and by all faculty members. The faculty is responsible for the evaluation of instruction, to be carried out on a regular basis and in a systematic manner to be determined by each TIU, subject to the approval of the dean of the college. Moreover, the evaluation of university teaching should be a comprehensive, integrated process that includes collection of data from students, peers, administrators, and the faculty members themselves. These data are interpreted with the understanding that both university instruction and its evaluation entail professional judgments according to expectations of the TIU.

2.7.3.1.1 Peer evaluation of teaching

Revised: 03/25/05

Edited: 08/01/07

Peer review of teaching aims to apply appropriate disciplinary (peer) standards to the teaching performance of faculty members. TIUs should provide opportunities for and mechanisms that support both formative and summative evaluation of teaching. The TIU must set forth detailed guidelines for peer evaluation of teaching to be used in faculty performance reviews that is appropriate for the unit's instructional situation(s).

Peer evaluation should focus on those aspects of teaching that students cannot evaluate, such as appropriateness of curricular choices given the goals of the course (survey, major required course), implicit and explicit goals of instruction, choice of examination/evaluation materials by the faculty member, and consistency with current disciplinary knowledge. Assessment of these aspects can be made by peers within the unit or external reviewers as determined by procedures established by the TIU.

TIUs may select from among many modalities of peer review. See the Office of Faculty and TA Development's (FTAD) website (www.ftad.osu.edu/) for links to on-line resources at Ohio State and at other institutions, as well as published sources that offer principles and methods for the formative and summative evaluation of teaching. TIUs must not only establish rules governing evaluation of instruction but also abide by those rules, applying them evenly and without prejudice. For further discussion see Book 1, Chapter 2, Section 1.4.

2.7.3.1.2 Student evaluation of teaching

Revised: 03/25/05

Edited: 08/01/07

Student evaluation is focused on students' perceptions of instruction, taking into account those factors shown by research to affect such response, including class size and whether the course was required or an elective in the student's program. The TIU must set forth a detailed plan for obtaining student evaluation information to be used in faculty performance reviews. Faculty must use a standard, objective, TIU-approved tool for student evaluation. As noted above, the TIUs selection of an assessment tool is subject to the approval of the dean of the college. This assessment tool may be generated by the unit, or, at the discretion of the unit's faculty, the Ohio State SEI may be used. For required components and further discussion see Book 1, Chapter 2, Section 1.4.

Solicited letters from former students, and particularly from former graduate students, are not credible forms of evaluation of teaching. Given the fact that such letters are known to be public documents, it is inconceivable that a former student would risk retribution by saying anything critical about a faculty member.

Other methods of documenting and evaluating teaching include:

- the candidate's self-assessment and statement of plans and goals
- a summary of the candidate's portfolio on teaching, including documentation of formative evaluation
- assessment of the success of the candidate's former graduate students and post-docs
- the extent to which pedagogical materials developed by the candidate have been adopted by other faculty
- the extent to which the candidate is invited to provide expertise on teaching at Ohio State, in professional societies, or at other institutions
- teaching awards or other recognitions

2.7.3.2 Scholarship

Revised: 03/25/05

Edited: 08/01/07

When the product of scholarship is primarily disseminated in the form of publications, documentation could include the measures of the quality of the publication outlets, internal evaluation of the candidate's work, and frequency with which the candidate's work is cited by others, if appropriate. External funding for research may be a form of documentation of scholarship (aside from its importance in facilitating the conduct of research) when the review processes that lead to its receipt are measures of the quality of a faculty member's past and planned research.

When the product of scholarship is disseminated in other forms such as performances, works of art, inventions, computer programs, the unit should describe the specific ways in which the quality of these works will be assessed.

External evaluations of scholarship are, of course, required. Units should nonetheless make every effort to assess the quality of a candidate's work from multiple approaches rather than rely solely on the external letters of evaluation.

Not only does there seem to be growing difficulty in obtaining candid letters but total reliance on external evaluations is inappropriate, possibly leading to decisions that are inconsistent with departmental standards and expectations.

2.7.3.3 Service

Revised: 03/25/05

Edited: 08/01/07

Activities generally considered to be service include:

- administrative work for the department, college, or university
- service to the profession such as leadership roles and editorial and reviewing activities
- application of professional expertise in service to the community (Community service not germane to a faculty member's professional expertise is not relevant to P&T reviews.)

Determine quality as well as quantity indicators of service roles. The quality of unit service will generally be known. Beyond the unit and external to the university, quality indicators of service would include election or appointment to leadership roles, other evidence that the candidate's services are sought rather than volunteered, and awards.

Depending on the nature of a candidate's service, it may be appropriate to obtain written evaluations from those who are in a position to evaluate specific contributions.

2.8 Appeals

Revised: 03/25/05

Edited: 08/01/07

Faculty Rule 3335-6-05 (A) (<http://trustees.osu.edu/ChapIndex/index.php>) sets forth general criteria for appeals of negative P&T decisions and provides further detail on appeals alleging improper evaluation.

2.9 Seventh-year Review

Revised: 03/25/05

Edited: 08/01/07

Faculty Rule 3335-6-05 (B) (<http://trustees.osu.edu/ChapIndex/index.php>) sets forth the conditions of and procedures for a Seventh-year Review for a faculty member denied tenure as a result of a sixth year review.

3.0 Updating obsolete material in TIU governance documents

Revised: 08/01/07

Edited: 08/01/07

All university titles, rules, policies, offices and entities must be checked for currency during the required governance document review in the first year of a TIU head's appointment or reappointment.

Many POAs and APT documents that are submitted for approval contain obsolete material. Common examples of such material are summarized below so that units may make the needed corrections before forwarding their documents for review.

Now that all university rules and policies are available on the web, it is inadvisable for the governance documents to quote these extensively as such passages will not reflect later revisions to the material at the web site. In place of quoted material, the address of the web site should be provided.

For matters relating to Employee and Labor Relations, please contact OHR, Organization and Human Resource Consulting, (614) 292-2800. For specific contact information see, www.hr.osu.edu/ohrc/.

The current handbook: the web-based OAA Policies and Procedures Handbook - http://oaa.osu.edu/OAAP_PHandbook.php.

Do not cite material directly or indirectly from obsolete handbooks. The Faculty Handbook (last issued 1984) and Handbook for Deans, Directors and Chairs (last issued 1996) no longer exist. Most references can be replaced by references to the OAA Policies and Procedures Handbook or to the Rules of the University Faculty.

Rule number changes approved at the BOT 7/9/04 meeting:

- Faculty Rule 3335-47 is now 3335-6
- Faculty Rule 3335-48 is now 3335-7

Faculty Rule 3335-3-35 (C) (3) (<http://trustees.osu.edu/ChapIndex/index.php>) sets forth responsibilities of chairs. The amended rule includes the TIU head's responsibility to inform faculty members in their annual review letters of their right to review their personnel file. Most POAs that quote this rule lack this provision.

Faculty Rule 3335-5-05 (A) (1) (<http://trustees.osu.edu/ChapIndex/index.php>) sets forth procedures for appeal of a negative P&T decision. The amended rule eliminates the requirement that a faculty member attempt to resolve an appeal informally at the local level before taking the appeal to the Committee on Academic Freedom and Responsibility. Any content in the appeals section of an APT document that cites the abolished requirement and/or describes a local appeals process intended to meet that requirement must be deleted immediately so that faculty members are not advised incorrectly about how to proceed with appeals in the coming year.

Faculty Rule 3335-6-03 (C) (2) (<http://trustees.osu.edu/ChapIndex/index.php>) sets forth procedures for nonrenewal of a probationary faculty appointment. The amended rule requires that nonrenewal of a probationary appointment result from application of fourth-year review procedures. Many APT documents approved prior to this amendment are inconsistent with the new requirement, creating the risk of improper procedure if nonrenewal is considered during the first, second, third, or fifth year of a probationary appointment.

Faculty Rule 3335-5-19 (<http://trustees.osu.edu/ChapIndex/index.php>) no longer requires 10 years of continuous service for a faculty member to be eligible for emeritus status. Units whose governance documents cite this requirement should delete it.

Faculty Rule 3338-6-03 (H) (<http://trustees.osu.edu/ChapIndex/index.php>) on the exclusion of time from probationary periods has been changed. A year is automatically excluded for the birth of a child or adoption of a child over age six. The maximum number of years that may be excluded from a probationary period increased from two to three.

Many governance documents incorrectly refer to the provost's title. The correct title is Executive Vice President and Provost.

The College of Medicine and Public Health is now two separate colleges, the College of Medicine and the College of Public Health.

The Colleges of Education and Human Ecology are now one single college, the College of Education and Human Ecology.

3.1 Quorum, voting, and abstentions

Revised: 08/01/07

Edited: 08/01/07

Often there is confusion surrounding quorum, voting, and abstentions. This section has definitions and examples to clarify various ways to approach decision making through a vote.

Quorum is the required number of members present at a meeting for official action to occur. This includes taking a vote. Quorum can vary depending on the size and nature of the body. Most bodies require a majority present to conduct business. Others require a super-majority, typically two-thirds, while others require less than a majority such as 20% or 25%. OAA recommends that departments require a quorum of two-thirds of the members for action on P&T cases.

An abstention indicates that an individual does not wish to go on the record with a position. As such abstentions are not counted. When calling for a voice vote, the chair should not call for abstentions since this would force the individual to go on record. In paper balloting, a blank ballot, a ballot with “abstain” written on it, and a ballot that is not returned are all the same. Only votes that are cast (aye/nay, yes/no, for/against) are counted.

Robert’s Rules notes several majority requirements for approving an action.

Majority: Approval requires at least more than half of the votes cast to vote in the affirmative.

Two-thirds majority: Approval requires at least two-thirds of the votes cast to vote in the affirmative.

Two-thirds of the members present: Approval requires at least two-thirds of the members present at the meeting to vote in the affirmative.

Two-thirds of the members: Approval requires at least two-thirds of the entire membership, present at the meeting or not to vote in the affirmative. This type of vote can usually only be administered through paper ballots.

Here are examples based on a membership of 100, only a quorum in attendance, and five abstentions. The table indicates the fewest number of votes needed for approving a motion.

Quorum	25%	Majority	2/3
# to attain quorum	25	51	67
Majority	11	24	32
2/3 Vote	14	31	42
2/3 of members present	17	34	45
2/3 of members	67	67	67

Chapter 2

Unit Administration

1.0 Tenure initiating unit

Revised: 07/26/04

Edited: 08/01/07

The concept of the TIU is described in Faculty Rule 3335-6-06 (<http://trustees.osu.edu/ChapIndex/index.php>). Characteristics of departments and schools are described in Faculty Rule 3335-3-34 (<http://trustees.osu.edu/ChapIndex/index.php>). Each RTT faculty member, including those with multiple appointments, has a tenure home in a single unit, (department, school, division, or in the case of colleges without departments, college).

Multiple faculty appointments totaling 50% or more of service to the university shall be considered to be the same as a single appointment of 50% or more for the purpose of determining eligibility for tenure of a RTT faculty member.

1.1 Chairs and directors (TIU heads)

Revised: 11/09/04

Edited: 08/01/07

The term of service and responsibilities of TIU heads (department chairs and school directors) is described in Faculty Rule 3335-3-35 (<http://trustees.osu.edu/ChapIndex/index.php>).

TIU heads appointed by the college dean, subject to the formal approval of the provost, president, and the BOT.

The dean determines whether the appointee is to be drawn from the faculty within the unit, usually following an internal search; is to be selected following a national search; or is to be selected in some other way. The dean also appoints search committees for TIU heads.

Deans determine the terms of appointment in light of the needs of the TIU, circumstances of the person to be appointed, and any other relevant considerations including OAA compensation policies (see 3.3).

TIU heads are normally appointed for a four-year term. Mid-year appointments terminate at the end of the third full academic year of appointment. A shorter appointment period may occasionally be specified in special circumstances.

TIU heads must be members of the faculty of the unit they administer. TIU heads are subject to annual review and may be removed before the end of the appointment period.

For additional information on the review of principal administrative officials, see University Bylaws 3335-1-03 (S) (<http://trustees.osu.edu/bylaws/index.php>).

Letters of offer appointing or reappointing TIU heads, including interim and acting, require prior approval by OAA following approval by the college dean. All such appointments are forwarded to the BOT for final approval (except those for a period of less than 90 days).

Deans must include a curriculum vitae and other appropriate documentation (a review of the chair's strengths and weaknesses in the case of reappointment) with letters of offer or reappointment when submitting them to OAA for prior approval.

Appointment of an outside appointee to a senior rank requires approval by college dean and OAA. See Chapter 5, Section 2.0 of this book for a description of the required documentation for all appointments to a senior rank and the Section on sample documents for the suggested language for a letter of offer including appointment to a senior rank.

Interim or acting TIU heads must be faculty members or emeritus faculty members from a TIU within the college.

Reappointments are effective on July 1 for 12-month appointees, and either on July 1 or October 1 for 9-month appointees, depending on whether there is a summer appointment at the beginning of the first year of the term of service. The July or October reappointment dates are used even if the first appointment as TIU head was on a mid-year date.

1.1.1 Definitions

Revised: 11/09/04

Edited: 08/01/07

Interim: formal replacement until a new person is hired; position is vacant.

Acting: stand-in for a person still in the position but on leave; position is filled.

1.2 Associate, assistant, and vice chairs and directors

Revised: 09/01/99

Edited: 08/01/07

TIU heads may appoint such associate, assistant, and vice chairs and directors as are needed to carry out the business of the department or school.

The TIU head determines the terms of appointment, subject to approval of the dean of the college. OAA suggests that individuals in faculty administrative positions serve on a year to year basis rather than having fixed terms of service.

1.3 Department staff

Revised: 09/01/99

Edited: 08/01/07

The TIU head is responsible for appointing, supervising, and evaluating the staff of the unit. This responsibility may be delegated in larger departments, but the TIU head is ultimately accountable for the matters covered in this section.

TIU heads can obtain information on staff hiring procedures from college fiscal officers and from Employment Services (292-9380). This information will not be covered here. The OHR home page may be found at: www.hr.osu.edu/.

1.4 Department faculty

Revised: 04/01/99

Edited: 08/01/07

1.4.1 Duties and responsibilities

Revised: 04/01/99

Edited: 08/01/07

OAA requires departments, in cooperation with their colleges, to establish policies that describe the allocation of effort in the department as a whole (as opposed to that of individual faculty members).

Using the guidelines developed by the Regents' Advisory Committee as a basis for the university policy as well as college and departmental policy, the following range of teaching responsibilities applies to all colleges and departments whose missions include undergraduate students.

- Departments with active baccalaureate programs and no—or limited—activity in graduate programs should have a norm for teaching activities of at least 70% of the total departmental workload with the remainder devoted to other scholarly activities of research/creative activity and service.
- Departments with active baccalaureate and master's degree programs should have a norm for teaching activities that is at least 60% of the total departmental workload with the remainder devoted to research/creative activity, service and other professional activities consistent with the department's mission.

- Departments with active baccalaureate, masters, and doctoral programs should have a norm of at least 50% of the total departmental workload devoted to teaching. The remaining workload time should be devoted to sponsored and department funded research/creative activity, service, and other professional responsibilities consistent with the department's mission.

College and departmental policies should define the range and general expectations regarding teaching, scholarship and research, as well as service responsibilities in terms of the academic mission of the college and department.

Policies should provide for a differentiation of faculty roles and recognize the fact that different colleges within the university and different departments within each college have different missions, resulting in differing expectations for various colleges and departments.

Where appropriate, departments should give special emphasis to undergraduate classroom teaching and other undergraduate teaching responsibilities.

Different colleges in the university have different missions, and there are differing expectations for the various departments within colleges. These expectations should be acknowledged by a college workload policy. It should recognize that departments within a college may have different, but equally valuable, missions and that faculty within departments may make different, but equally valuable, contributions to those missions.

The purpose of the workload policy for a department is to identify the relative emphasis to be placed on teaching, research, and service. Where appropriate, the departmental workload policy should place special emphasis on identifying the relative importance given to undergraduate instruction and to meeting the academic needs of undergraduate students.

The workload policy should include—but is not limited to—time in a formal classroom setting. In nearly all departments, the faculty commitment to teaching extends beyond the classroom to include a variety of learning activities, such as supervision of individual tutorial projects, formal advising, and informal supervision and advising on research projects and assignments.

Departmental policies should consider departmental expectations which result from the types, strengths and viability of the degree programs it offers, its research and other scholarly activities, the external funding it receives, and the service it offers. Workload policies should include statements of:

- overall workload expectations to ensure a balance of faculty time and effort spent in teaching, research, and service
 - The department chair is responsible for achieving this balance for the department through the assignment of duties to individual faculty.
- types and amounts of instruction needed to accomplish the teaching mission of the unit
 - Normally this will include an analysis of the likely numbers and types of courses/sections necessary to satisfy the demand for undergraduate general education, undergraduate major and graduate programs.
- expectations for research and creative activity by the faculty

The mission of the department will determine the relative balance of effort in teaching, research/creative activity, and service. OAA anticipates that there will be significant differences in the missions of the many departments and, as a result, there will be differences among departments in the relative amounts of effort faculty spend in their teaching, research/creative activity, and service responsibilities. Within departments significant differences in the assignment of responsibilities to individual faculty members may exist, reflecting individual faculty strengths, interests, and abilities to contribute to the overall mission of the department.

In establishing suggested ranges in departmental teaching, the department chair should focus on total teaching effort rather than on some of the more traditional measures of teaching workload such as number of courses, number of credit hours, or weighted student credit hours. The emphasis on effort is a more realistic approach to recognizing the complexity and diversity evident in undergraduate teaching. The effort required to teach an undergraduate course is related to a variety of factors (the number of students enrolled, the availability of instructional support staff, the nature of the material being taught, the number and type of assignments to be graded, the method of instructional delivery). A focus on the percentage of workload effort devoted to teaching should be general enough to include a variety of delivery systems, yet specific enough to ensure greater accountability by departments in meeting student instructional needs.

Part-time faculty members include those persons appointed to carry out instructional responsibilities dictated by enrollment demand or by the special needs of an academic unit. Because their primary responsibility is teaching, part-time faculty are not usually expected to engage in other university duties. The actual assignment of instructional responsibilities for a part-time faculty member will be determined by contractual agreement with the university.

All programs may not fit administratively into one of the above categories of departments. In such a case, the appropriate proportion of time to be devoted by the academic unit to teaching should be determined by the dean, subject to approval of the provost. There may be departments that differ significantly from the above classification such as those that have graduate programs but no, or few, undergraduate ones, as may be the case in the health sciences (nursing, dentistry, medicine). Appropriate teaching responsibilities for such departments should be determined by the department chair in consultation with the college dean, subject to the approval of the provost.

See also Section 2.3 in Chapter 2 of Book 2 for information on college faculty teaching workload policy.

1.4.2.1 Teaching

Revised: 04/01/99

Edited: 08/01/07

For academic units in which formal course offerings are the primary mode of instruction, the policy on faculty duties and responsibilities must include an indication of the average, minimum, and maximum course load per year (in terms of either courses or credit hours).

In situations in which formal course offerings are not the primary mode of instruction (cooperative extension, clinical areas in the health sciences, and the libraries), a unit's policy may specify the average, minimum, and maximum percentage of time faculty are expected to devote to instructional activities or may describe expectations in some other appropriate way.

Optional content could include expectations with respect to numbers of undergraduate, graduate, and/or professional students advised, development of instructional materials, and/or other instructional activities of importance to a particular unit. In specifying formal course loads, units may also choose to distinguish type and level of course and course size.

1.4.2.2 Research

Revised: 04/01/99

Edited: 08/01/07

A unit's policy on faculty duties and responsibilities must include a statement describing the average level of scholarly productivity expected within a time frame appropriate to the discipline.

In departments in which seeking and obtaining external funding is customary, the policy should state the expectations for seeking and obtaining such funding.

The degree of specificity in all such statements will vary widely across disciplines. Since scholarly activity is self-generated rather than assigned, however, the language in this section should be sufficiently explicit to communicate expectations clearly and to provide a basis for adjusting duties and responsibilities in instruction and service in response to variations in the level of scholarly productivity.

1.4.2.3 Service

Revised: 04/01/99

Edited: 08/01/07

A unit's policy on faculty duties and responsibilities must include a statement regarding expectations for faculty participation in department, college, university, and, for regional campus faculty, regional campus governance, and for participation in professional organizations, and professional consultation.

Many faculty members voluntarily take on a variety of professional activities that fall outside the department's policy on faculty duties and responsibilities. These activities often benefit the department or university and, to the extent possible, should be taken into account in considering a faculty member's total workload.

However, fairness to other faculty and the department's need to meet its programmatic obligations may become issues when a faculty member seeks relief from departmental obligations in order to devote considerable time to personal professional interests that may not contribute to departmental goals. The chair may decline to approve such requests when approval is not judged to be in the best interests of the department.

1.4.2 Teaching workload

Revised: 04/01/99

Edited: 08/01/07

Every department, college without departments, and regional campus must have a written policy for the equitable assignment and distribution of faculty duties and responsibilities. Faculty Rule 3335-3-35 (<http://trustees.osu.edu/ChapIndex/index.php>) requires that such a policy be a part of the academic unit's Pattern of Administration.

Faculty Rule 3335-5-08 (<http://trustees.osu.edu/ChapIndex/index.php>) requires that absence from campus for more than ten days (not necessarily ten contiguous days) during a quarter be approved by chair, dean, and provost.

This policy does not constitute a contractual obligation. Fluctuations in demands and resources in the department (college, regional campus) and the individual circumstances of faculty members may warrant temporary deviations from the policy.

A unit's policy should address how variations in scholarly activity and formal classroom instruction will be balanced to assure a reasonably equitable distribution of responsibilities among faculty. Academic units that offer little or no formal classroom instruction should indicate how variations in scholarly activity and instructional activity, however measured, will be balanced. Additional detail is optional.

The chair is responsible for assuring that every faculty member has duties and responsibilities commensurate with his or her appointment and that departmental workload is distributed equitably among faculty. While faculty members are expected to exercise "self-determination" in conducting their research or other scholarly activity, the chair assigns teaching and in most cases departmental service.

In making these assignments the chair must balance the needs of the department with the preferences of the faculty member within the context of the department's policy on faculty duties and responsibilities described below.

During on-duty quarters faculty members are expected to be available for interaction with students, service assignments, and other responsibilities even if they have no formal course assignment that quarter. On-duty faculty members should not be away from campus for extended periods of time unless on an approved Special Research Assignment.

1.4.3 Evaluation of instruction

Revised: 04/16/02

Edited: 08/01/07

Without systematic forms of teaching assessment, there is little basis on which to evaluate either the quality of instruction or the performance of individual faculty members. Tenure initiating units (TIU) should establish measurable criteria for evaluation of teaching. Criteria that are research-based and specific to the unit's teaching mission are most useful in faculty evaluation of teaching. The TIU's procedures and policies for peer evaluation and for student evaluation must be included in its Appointments, Promotion and Tenure (APT) document. The plan may be included in the documentation Section following P&T review procedures or may be attached to the APT document as an appendix.

See Evaluation of Teaching (http://oaa.osu.edu/eval_teaching/index.html) for links to on-line resources at Ohio State and at other institutions, as well as published sources, that offer principles and methods for the formative and summative evaluation of teaching. The material provided is intended to be helpful both to individual faculty planning to evaluate their teaching and to academic units developing statements on policy and procedures.

1.4.3.1 Peer evaluation

Revised: 04/16/02

Edited: 08/01/07

Successful peer review entails a commitment of time and resources as units educate faculty on best practices and develop and implement specific policies and procedures. Although OAA does not require any particular form of peer evaluation, units are required to develop a detailed plan that is appropriate for their instructional situations, taking into account what assessments will be done, for what purpose, by whom, and when.

1.4.3.1.1 Required

Revised: 04/16/02

Edited: 08/01/07

Periodic peer evaluation is required for both probationary and tenured faculty (at all ranks).

Peer evaluation is the responsibility of the faculty of the TIU, not the individual faculty member being reviewed. The faculty must determine the methods of peer review that work best for the particular unit and apply them consistently.

1.4.3.1.2 Recommended

Revised: 04/16/02

Edited: 08/01/07

Peer evaluation should focus on those aspects of teaching that students cannot validly assess, such as appropriateness of curricular choices, implicit and explicit goals of instruction, choice of examination/evaluation materials by the faculty member, and consistency with highest standards of disciplinary knowledge. Peer evaluation should have clear goals, be informed by student opinion, and be grounded in a unit culture that values good teaching. Classroom observations should not serve as the sole method for peer assessment of teaching effectiveness.

1.4.3.1.3 Classroom instruction

Revised: 04/16/02

Edited: 08/01/07

The focus of peer evaluation of classroom teaching should be on how the faculty member engages the students in learning in a manner appropriate to the situation. Peer evaluation of classroom teaching should include an assessment of the substance of the class including the appropriateness of topics, given the goals of the course (survey, major required course), and the methods used to communicate them.

1.4.3.1.4 Course materials

Revised: 04/16/02

Edited: 08/01/07

Examine syllabi, assignments, projects, and examinations to determine the extent to which:

- course objectives are appropriate
- course materials and assignments are up-to-date and consistent with course objectives
- syllabi are informative
- feedback on assignments is appropriately detailed and contributes to learning
- graded examinations and projects demonstrate the engagement of the faculty member and the students
- assessment of course materials may be made by peers within the unit or external reviewers as determined by procedures established by the TIU
- peer review done for the purpose of informing reviews for promotion and tenure or promotion should be done often enough, and across a sufficient range of instructional situations, to provide a meaningful body of evidence and early enough to allow for the use of feedback for improvement

1.4.3.1.5 Guidelines for revising current practices

Revised: 03/15/02

Edited: 08/01/07

The following brief guidelines, taken in part from Nancy Van Note Chism's *Peer Review of Teaching: A Sourcebook* (Bolton, MA: Anker, 1999), will greatly benefit units that wish to initiate substantive and effective change in current practices of peer review of teaching at the most local levels (units or schools).

Local Discussion of Evaluating Peer Review of Teaching

This first step in reviewing current practices and seeking effective change is most crucial. Faculty must come together to address several philosophical and pedagogical issues before revising existing practice or implementing new practices. The kinds of issues addressed during local discussions (which will take place over several meetings and/or during retreats to address teaching) might include the following:

- Define good teaching within the unit, its qualities and goals (a "what" of peer review). For what purpose is teaching reviewed (the "why")?
- Define "peer" (a "who" of peer review). Who is eligible to conduct reviews of teaching?
- Define who will be reviewed (a second "who"). According to OAA guidelines, all faculty teaching must be reviewed periodically.
- Enumerate the range of practices defined as teaching (a "what" and "where" of peer review). These practices might include classroom teaching, scholarship on teaching, advising, web-based instruction, distance learning, dissertation and thesis advising, independent study, curriculum development.
- Articulate the areas of focus for review of classroom teaching (articulation of course goals, mastery of course content, effective use of instructional methods and materials, appropriate evaluation of student work).
- Establish the process by which peer review of teaching will take place (the "how" of peer review). What tools and methods will be used? What kinds of documentation will be required of faculty, peer reviewers, unit heads?
- Define a schedule by which all faculty members will be reviewed (the "when").
- Articulate the relationship between and provide opportunities for both formative and summative evaluation of teaching.
- Articulate the relationship among types of evaluation of teaching (student, peer, administrative, self).

Implementing the System

Once a unit has discussed and reached consensus on issues like those listed above, it can then begin to implement the new processes. To do so effectively, the unit must:

- prepare faculty to participate effectively in the new review processes
- monitor, review, and evaluate the new processes
- commit to further change and adjust the system if data suggests that is necessary

"Closing the Loop"

In addition to preparing faculty, monitoring and evaluating and perhaps adjusting a new system of peer review of teaching, units must also "close the loop," they must use the data gathered in peer review to improve the quality of teaching within the unit. Teachers (and peers) use what they learn from both formative and summative evaluation to become better teachers. Units must also seek to use the data collected to make informed and equitable judgments about teaching while undertaking summative evaluation of teaching. Peer review of teaching, as well, must be situated

in terms of the other data available (self-evaluation, student evaluation, administrative review). Similarly, all data should be interpreted in terms of both the unit's and candidate's goals, philosophies of teaching, and mission.

1.4.3.2 Student evaluation

Revised: 04/16/02

Edited: 08/01/07

Faculty Rule 3335-3-35 (A) (14) (<http://trustees.osu.edu/ChapIndex/index.php>) requires units to assure that students are given the opportunity to evaluate every course every time it is taught. The university recognizes the value of soliciting commentary from students on their experiences in the classroom. Student assessment of teaching, however, may be colored by the student's performance in the course, personal response to a particular instructor, and other aspects of the course or situation that do not necessarily reflect on the quality of instruction; nevertheless, student opinions about instructors and classes are very important. TIU faculty must develop and implement appropriate policies for collecting student input as well as procedures for interpreting data collected from students. However, TIUs must not rely solely on student responses to courses and instruction such as the Student Evaluation of Instruction (SEI) in their assessment of the quality of a faculty member's teaching.

Despite the utility and effectiveness of the SEI, please keep in mind that it is a blunt instrument and that its results should not be regarded as highly precise. Please also keep in mind that the SEI is only one source of data for assessing teaching (SEI Handbook (http://oaa.osu.edu/eval_teaching/seihandbook.html) September 2001, p. 7).

When a substantial proportion of students are consistently dissatisfied with the teaching of a particular instructor, a problem exists that requires attention. The university cannot recruit and retain high-quality students unless they are satisfied with the quality of the instruction that they receive.

1.4.3.2.1 Required

Revised: 04/16/02

Edited: 08/01/07

Every TIU's APT document must specify a single required method of soliciting student opinion in each distinct type of course (large lecture course, small seminar). Faculty members may supplement this with other methods if they wish.

Student opinion must be solicited in every course on those issues that students are best able to assess:

- instructor's preparedness for class
- clarity of communication
- ability to generate interest in the material
- accessibility
- ability to establish a conducive learning environment
- timeliness of and quality of responses to student work

When the results of soliciting student opinion are to be a component of performance review, the process cannot be under the control of the faculty member. TIUs must have a mechanism for assuring that faculty members do not collect student opinion surveys themselves.

If instruments that are not machine-gradeable are used in the P&T process, someone other than the faculty member must summarize the results for inclusion in the dossier.

1.4.3.2.2 Recommended

Revised: 04/16/02

Edited: 08/01/07

Queries should include a highly structured component. Data should correlate to specific issues on which student opinion is desired. If the TIU wishes to draw comparisons among instructors, then performance in comparable types of courses should provide the basis for comparison.

Open-ended or even semi-structured essays by themselves do not serve these purposes well. Comments may be useful in allowing respondents to expand on highly structured queries but when few such comments are available, they offer minimal basis for generalization. Student comments that aid specifically in the interpretation of the statistical data are useful.

Efforts should be made to maximize response rates since low response rates greatly limit the usefulness of data.

Numerical assessments that determine solely whether a faculty member does or does not meet or exceed the college or university mean in the cumulative average on the SEI are not useful. Trivial differences in mean values do not constitute a viable basis for comparing one instructor with another. The focus should be on patterns of responses and on general comparisons rather than on small differences in mean values.

Exit interviews of graduating majors, though not generating large amounts of data about specific instructors, are often helpful in revealing how students view their overall experience in the unit's courses.

1.4.3.3 Administrator evaluation

Revised: 04/16/02

Edited: 08/01/07

TIU heads play a particularly important role in the definition, development, and implementation of appropriate practices of peer review of teaching. Administrator evaluation of classroom teaching should focus on:

- evaluating drop rates, failure rates, and other data associated with the course
- judging whether a pattern of negative data is a direct consequence of the quality of instruction or is possibly related to other factors
- providing important corroborating evidence related to the quality of teaching by faculty in a particular unit
- identifying particular teaching contributions of the faculty member to the teaching mission and mandates of the unit
- evaluating the effectiveness of extra-classroom teaching of faculty

1.4.3.4 Self evaluation

Revised: 04/16/02

Edited: 08/01/07

Reflective practice and self-assessment by faculty members are necessary components of the systematic evaluation of instruction. Individual faculty members should be given every opportunity to:

- explain the goals and intentions of their courses and assignment designs
- describe the philosophy of teaching and learning that informs their practice
- interpret the relationship between student ratings and classroom events
- reflect on evaluation information to improve their teaching

Although self-assessment cannot be the only source of data for making credible personnel decisions, the personal narrative that provides an explanation of a faculty member's teaching goals is a valuable source for P&T decisions.

1.4.3.5 Integration and interpretation

Revised: 04/16/02

Edited: 08/01/07

Units must integrate and interpret data from all sources within the context of the discipline and the unit. Each unit should develop a system to integrate and interpret data derived from all of the relevant sources using the TIU's criteria for judging teaching effectiveness and excellence. Units must develop procedures for interpreting evaluation of teaching in a fair and responsible way.

Systems of evaluation must both make summative judgments about the quality of teaching, and provide timely and formative feedback with the opportunity for faculty to use this feedback to improve their instruction of Ohio State students.

1.5 Course scheduling

Revised: 07/23/04

Edited: 08/01/07

While unit heads must give consideration to the teaching specialties and preferences of faculty, the primary consideration in scheduling classes must be to provide for the needs of students, both the unit's own students and those from other units who need specific courses to meet their degree requirements. Unit heads should make every effort to assure the regular availability of required courses and the sensible timing of high-demand offerings so that all students have a fair chance of fitting such courses into their schedules.

It is the unit head's responsibility to assure that the schedule of course offerings each quarter makes the most effective use of the unit's instructional resources. Faculty Rule 3335-8-16 (<http://trustees.osu.edu/ChapIndex/index.php>) establishes a standard that an elective course below the 300 level should have an enrollment of at least 12 and an elective course at the 300 level or above should have an enrollment of at least eight for the course to be taught. A unit may wish to establish higher minimums.

Units should review annually the patterns of enrollment in their course offerings, especially their elective offerings. Unit heads should identify offerings that may represent a less than optimal use of instructional resources. Units should discontinue or, at least not offer again until there is reason to expect adequate enrollment, courses with enrollments that are frequently below minimum. Unit heads should assign other courses to faculty who teach such courses, or whose courses are cancelled because of low enrollment. Faculty may not cancel courses on their own. The unit head is responsible for determining whether a scheduled course is to be cancelled.

1.6 New courses and abolishment of courses

Revised: 08/05/05

Edited: 08/01/07

At the start of each new academic year OAA issues an updated manual containing information on the creation of new courses and the abolishment of courses: Academic Organization and Curriculum Handbook.

1.7 Graduate Associates

Revised: 08/01/07

Edited: 08/01/07

The Graduate School Handbook (<http://www.gradsch.ohio-state.edu/Depo/PDF/Handbook/Handbook.pdf>), updated annually contains the university policies on graduate associate appointments.

2.0 College administration

Revised: 09/01/99

Edited: 08/01/07

2.1 Deans

Revised: 09/01/99

Edited: 08/01/07

The term of service and responsibilities of deans are described in Faculty Rule 3335-3-29 (<http://trustees.osu.edu/ChapIndex/index.php>). The Board of Trustees (BOT) appoints deans for five-year terms subject to an annual performance review. Deans undergo a more thorough review during the fourth or fifth year of service if they wish to be considered for reappointment.

The dean title implies both academic responsibilities (responsibilities related to curriculum and faculty) and decision-making authority. The title should be used only for positions involving academic responsibilities and the incumbent should have appropriate credentials.

2.2 Associate and assistant deans

Revised: 08/01/01

Edited: 08/01/07

Deans may appoint such associate and assistant deans as are needed to carry out the business of the college. The dean determines the terms of appointment.

Letters of offer to associate and assistant deans require prior approval by OAA. OAA suggests that these appointments be for a length of one year and that they may be renewable. Associate and assistant deans are subject to annual review and may be removed before the end of the appointment period.

The following descriptors and criteria for assistant and associate dean titles were adopted by OAA in 1992 following consultation with the Council of Deans and University Senate Steering Committee.

2.2.1 Associate deans

Revised: 08/01/01

Edited: 08/01/07

Associate deans' duties may include considerable decision-making authority in academic areas such as research, curriculum development and implementation, academic support services for students, academic support services for faculty, and space and facilities.

Associate deans may also have responsibility for faculty appointments, grievances, discipline, and other personnel matters specific to faculty. Associate deans must be RTT or RCT faculty members.

2.2.2 Assistant deans

Revised: 08/01/01

Edited: 08/01/07

Assistant deans' duties may include both support activities and some decision-making authority in academic areas such as curriculum development and implementation, academic support services for students, and academic support services for faculty.

Assistant deans should hold the terminal degree in a discipline in the college in which they serve, but do not need to be faculty members. However, if an assistant dean has authority in the area of faculty appointments, grievances, and related matters, that individual should have faculty status.

2.3 Faculty teaching workload

Revised: 04/01/99

Edited: 08/01/07

In setting college workload policy, flexibility is important in order to recognize that there may be ranges in teaching, research, and service expectations among departments, as well as among the faculty within departments.

The dean of each college, in consultation with the provost and the college's department chairs, is responsible for determining the appropriate division of workload expectations for each department (or equivalent unit in the college) according to the department's level of activity in the degree programs it offers. In determining the relative emphasis that a given department would place upon undergraduate programs, research, and graduate programs, the dean should consider the research productivity of the faculty, including externally funded research, and the average number of graduate and/or professional degrees granted annually.

At all times, consideration should be given to the fact that students at Ohio State learn in a research intensive environment where research and teaching are seen as two inseparable facets of the learning experience for both faculty and students.

See also 1.4.2 on department faculty teaching workload policy.

3.0 Fiscal management

Revised: 11/10/04

Edited: 08/01/07

3.1 Ohio Ethics Law

Revised: 11/10/04

Edited: 08/01/07

The Ohio Ethics Law expressly states that public employees may not use their position to obtain anything of value that would improperly affect them in carrying out their duties. Thus, gifts from prospective

vendors or consultants or potential future employees may not be accepted unless they are of minimal intrinsic value. This applies to gifts of all kinds, including but not limited to goods, services, meals and entertainment. The university considers that the law applies to all individuals (administrators, faculty, staff) in the department.

Copies of the relevant sections of the Ohio Revised Code can be purchased from Stores and should be provided to all new employees, including new faculty. All employees must sign the OHR form acknowledging receipt of a copy of the Ohio Ethics law (see employment forms on the OHR website, www.hr.osu.edu/forms/index.aspx).

3.2 Fund accounting

Revised: 09/01/01

Edited: 08/01/07

Fund accounting is the type of accounting used in not-for-profit organizations. University fund accounting divides university resources into seven fund groups:

- current unrestricted funds
- current restricted funds
- endowment funds
- annuity and life funds
- loan funds
- plant funds
- agency funds

Typically a unit uses funds from the first two of these groups—current unrestricted funds and current restricted funds.

The General Fund provides funding for most units' operations. Expenses incurred in support of sponsored research that are not directly charged to grants are reimbursed to the university's General Fund to provide recovery of facilities and administrative costs. A portion of these recoveries is returned to the principal investigator's college and unit by the university.

If the unit has earnings operations such as clinics or conferences, these are also considered current unrestricted funds.

For more information see Funds Typically Used by an Academic Department (<http://www.ctrlr.ohio-state.edu/financial/FundsTypicallyUsedpage1.pdf>).

3.2.1 Definitions

Revised: 09/01/01

Edited: 08/01/07

Current funds: funds that will be used in the current fiscal year.

Unrestricted funds: funds that may be used for any legitimate university purpose as determined by the BOT.

- The university's General Fund and its earnings operations, most of which are self-supporting, are unrestricted funds.

Restricted funds: funds that may be used only for the specific purpose stated in an agreement between the university and the donor or other provider of those funds. The TIU head is responsible for ensuring that restricted funds are used as specified.

- Gifts, endowment distributions, and various types of grants and contracts, including sponsored projects administered through the Research Foundation, are restricted funds.

3.3 Structural factors in fund management

Revised: 10/01/01

Edited: 08/01/07

Management of unit funds is complicated by three structural factors external to the unit. TIU heads need to be aware of these factors and plan accordingly when allotting time and effort to fiscal matters and when delegating operational fiscal responsibility to unit staff.

3.3.1 University structure

Revised: 10/01/01

Edited: 08/01/07

The unit must coordinate the ongoing flow of information that comes, either directly or via the college, from the university's central administration. It is particularly important for TIU heads to stay up to date regarding procedures established by the Ohio State University Research Foundation (OSURF), which manages fiscal operations for all sponsored projects. Any accounting, purchasing or payment activity that pertains to externally funded research must be performed in compliance with OSURF guidelines on Funding & Research Development.

For all other accounts, units work with the Accounting, Payroll, Purchasing, Travel, Asset Management, and Accounts Payable divisions on the main campus.

3.3.2 Fund accounting

Revised: 10/01/01

Edited: 08/01/07

Fund accounting subdivides university resources into seven fund groups based on the sources and the uses of the funds (see 3.2 of this chapter).

While fund accounting provides for appropriate reporting, it creates additional effort for units in that individual programs may well use monies from two or more fund groups. For example, a single program can be supported by student fees, program revenues and private gifts. To track programs of this kind, specific accounting codes and unit designed reports must be used.

3.3.3 Automated systems

Revised: 10/01/01

Edited: 08/01/07

The university uses automated systems for the following services:

- payroll and other human resource functions
- procurement of goods and services

- accounting

These systems are subject to periodic upgrades. TIU heads should be aware that periodic changes to the systems environment will occur and that staff will require time and resources to adjust internal procedures to accommodate them.

3.4 Central accounting system or General Ledger

Revised: 09/01/01

Edited: 08/01/07

The university currently uses a system called the General Ledger (GL) as its central accounting system.

3.4.1 Reviewing reports

Revised: 09/01/01

Edited: 08/01/07

GL reports should be regularly reviewed and checked against internally maintained systems or other internal record keeping. Since the GL represents the university's official record of funds available to the unit, it is in the TIU head's interest to make sure discrepancies are discovered and resolved promptly.

TIU heads should be aware of two other matters regarding the GL:

- No central office reviews unit reports for errors. This review is considered to be a unit responsibility.
- If deficit spending occurs, there is no automatic replenishment of funds from central sources. To prevent deficit spending, budgets should be monitored regularly during the fiscal year. Modifications should be made to spending as necessary to ensure that the budget is met.

3.5 Expenditures

Revised: 09/01/01

Edited: 08/01/07

3.5.1 Guidelines

Revised: 09/01/01

Edited: 08/01/07

Please see expenditure policy under policies in the Policies, Procedures, and Manuals (http://www.ctrlr.ohio-state.edu/webhelp/Financial_Policies.htm) section of the Office of the Controller web site.

Expenditures from all university funds must be reasonable, prudent, and properly documented. For major expenditures (salaries and major purchases), funds must be encumbered.

Encumbering is the process of setting funds aside or earmarking them for future purchases. This procedure is required of all state-funded agencies by the State of Ohio. Although the university's funding does not derive exclusively from state funds, we comply with the requirement.

3.5.2 Monitoring expenditures

Revised: 09/01/01

Edited: 08/01/07

The TIU head is expected to keep expenditures within the limits of available resources while carrying out unit programs. Deficit spending is strongly discouraged. Deficits are charged against the funds of the unit that is in deficit, and are not replenished by the central university.

Regular review of internal reports and centrally produced reports such as those provided by the GL (accounting system) or by OSURF will reveal whether or not the unit and its programs are adhering to budget plans. During the fiscal year, modifications should be made to expenditures as necessary to ensure that the budget is met.

Salaries are encumbered at the beginning of the fiscal year or when a new employee is hired. Major purchases of goods and/or services (including consulting services) are encumbered when a purchase order is initiated.

4.0 Regional campuses

Revised: 07/26/04

Edited: 08/01/07

The four regional campuses—Lima, Mansfield, Marion, and Newark—offer Associate of Arts degrees as well as undergraduate and graduate programs in education and other selected areas.

Courses on these campuses must be approved by the relevant units on the main campus. All courses taught on the regional campuses are Ohio State courses, not regional campus courses.

Regional campus faculty members are assigned to the campus that hired them for the duration of their employment with the university unless a campus transfer is effected under the terms of Faculty Rule 3335-6-07 (<http://trustees.osu.edu/ChapIndex/index.php>).

The TIU of regional campus faculty is the discipline-based unit on the Columbus campus. This arrangement necessitates considerable cooperation between the regional campus and the Columbus campus TIU in order to assure that appointments, annual reviews, and P&T reviews are carried out in a manner fair to the faculty and consistent with the needs and standards of both the TIU and the regional campus.

5.0 University Senate

Revised: 08/01/07

Edited: 08/01/07

For the powers of the University Senate, see Faculty Rule 3335-5-41 (<http://trustees.osu.edu/ChapIndex/index.php>).

The web site of the University Senate is at www.senate.osu.edu.

The University Senate consists of 70 faculty members representing 18 colleges, the University Libraries, and the regional campuses; ten graduate students, five professional students, and 26 undergraduate students; and 26 administrators including the university president, the executive vice president and provost, the senior vice president for business and finance, the senior vice president for research, the 18 deans of the colleges, the executive dean of the colleges of the arts and sciences, the executive dean of the regional campuses, the dean of the graduate school, and the director of libraries. Most of the business of the University Senate is conducted through its three organizing and 18 standing committees.

6.0 Rules of the University Faculty

Revised: 07/26/04

Edited: 08/01/07

Chapters of the Rules of the University Faculty with special relevance to faculty and academic administrators are:

3335-3	Administration
3335-5	Faculty, Governance and Committees
3335-6	Tenure track Faculty Appointments, Reappointments, & Promotion & Tenure
3335-7	Regular Clinical & Regular Research Track Appointment, Reappointment & Nonreappointment, & Promotion

The remaining Chapters of the Rules of the University Faculty are:

3335-8	Instruction, Courses and Curricula
3335-9	Attendance and Graduation
3335-11	Student Affairs/University Discipline
3335-13	University Property/Restrictions/Patent Rights
3335-15	Miscellaneous Provisions
3335-17	Election Bylaws of University Senate
3335-19	Bylaws of University Senate
3335-23	Code of Student Conduct

The Rules of the University Faculty can be found on the BOT website:

www.trustees.osu.edu/ChapIndex/index.php.

7.0 Faculty in memoriam resolutions

Revised: 07/26/04

Edited: 08/01/07

The BOT Office makes reasonable efforts to stay informed of deaths of faculty and faculty-emeritus. When a death is noted (in local newspaper obituaries) the BOT Office contacts the dean of the faculty member's college and requests that a memoriam be written and sent to the BOT Office. That resolution is then taken to the next BOT next meeting for approval. After the BOT meeting, a certified copy of the memoriam and a letter from the president is sent to the family of the deceased.

Chapter 3

Faculty Appointments

1.0 Appointment types

Revised: 08/01/07

Edited: 08/01/07

1.1 Definitions and use of faculty titles

Revised: 07/26/04

Edited: 08/01/07

Faculty Rule 3335-5-19 (<http://trustees.osu.edu/ChapIndex/index.php>) states the general criteria governing the types of faculty titles. Faculty Rules 3335-6 and 3335-7 (<http://trustees.osu.edu/ChapIndex/index.php>) describe in detail the three regular (continuing) faculty

tracks listed below. A chart of faculty appointment types, titles, and job codes is available at the end of OAA Policies and Procedures Handbook.

1.1.1 Units with an approved clinical track

Revised: 08/01/07

Edited: 08/01/07

This is a list of colleges (bold), departments, and schools with approved clinical tracks. The number in parentheses indicates the appointment cap as percent of regular tenure-track faculty within the unit.

Dentistry (40)

Engineering (20)

Biomedical Engineering (20)

Computer Science and Engineering (20)

Law (20)

Medicine (N/A)

Allied Medical Professions (N/A)

Anesthesiology (N/A)

Emergency Medicine (N/A)

Family Medicine (N/A)

Internal Medicine (N/A)

Neurological Surgery (N/A)

Neurology (N/A)

Obstetrics and Gynecology (N/A)

Ophthalmology (N/A)

Orthopaedics (N/A)

Otolaryngology (N/A)

Pathology (N/A)

Pediatrics (N/A)

Physical Medicine and Rehabilitation (N/A)

Psychiatry (N/A)

Radiology (N/A)

Surgery (N/A)

Nursing (40)

Optometry (40)

Pharmacy (40)

Public Health (40)

Veterinary Medicine (40)

Veterinary Biosciences (40)

Veterinary Clinical Sciences (40)

Veterinary Preventative Medicine (40)

1.1.2 Units with an approved research track

Revised: 08/01/07

Edited: 08/01/07

This is a list of colleges (bold), departments, and schools with approved clinical tracks. The number in parentheses indicates the appointment cap as percent of regular tenure-track faculty within the unit.

Biological Sciences (20)

Entomology (20)

Dentistry (20)

Engineering (20)

Aerospace Engineering (20)

Aviation (20)

Materials Science and Engineering (20)

Food, Agriculture, and Environmental Sciences (20)

Medicine (20)

Biomedical Informatics (20)

Family Medicine (20)

Internal Medicine (20)

Molecular and Cellular Biochemistry (20)

Molecular Virology, Immunology, and Medical Genetics (20)

Neurological Surgery (20)

Neuroscience (20)

Obstetrics and Gynecology (20)

Pediatrics (20)

Pharmacology (20)

Physical Medicine and Rehabilitation (20)

Physiology and Cell Biology (20)

Radiology (20)

Surgery (20)

Nursing (20)

Optometry (20)

Pharmacy (20)

Public Health (20)

2.0 Regular faculty

Revised: 07/26/04

Edited: 08/01/07

There are three types of regular faculty at The Ohio State University:

- Regular tenure track faculty (see Faculty Rule 3335-6 (<http://trustees.osu.edu/ChapIndex/index.php>))
- Regular clinical track faculty (see Faculty Rule 3335-7 (<http://trustees.osu.edu/ChapIndex/index.php>))
- Regular research track faculty (see Faculty Rule 3335-7 (<http://trustees.osu.edu/ChapIndex/index.php>))

2.1 Joint appointments

Revised: 02/13/01

Edited: 08/01/07

A joint faculty appointment is defined as one in which a faculty member has a compensated FTE appointment in two or more TIU. Some aspects of these guidelines may be helpful in establishing memoranda of understanding (MOUs) for appointments where a non-TIU such as an academic center provides part of the funding for a faculty appointment but such MOUs do not require OAA approval.

The units considering making a joint appointment should determine whether this is the most appropriate means of accomplishing some shared goal. Financial reasons (neither unit has the resources to make the appointment on its own) alone do not provide an optimal foundation for joint appointments. If there are others means of attaining the shared goal (such as joint service on graduate studies committees) that will accomplish the shared goal OAA suggests not pursuing a joint appointment.

Ideally the units making a joint appointment should reach agreement on the terms of a joint appointment before seeking an individual to fill the position so that these terms can be communicated clearly to candidates. These terms, modified as a consequence of negotiation with a particular candidate where appropriate, must be set forth in an MOU signed by the hiring units. If the hiring units are in different colleges, both deans must also sign off on the MOU.

Before being extended to candidates, letters of offer involving joint appointments as defined in these guidelines, along with the MOU noted above, must be approved by OAA. A candidate must be made aware of the terms of the MOU before asked to decide on an offer. Items that should be included in the MOU include:

- In which TIU the candidate's tenure will reside (see [Faculty Rule 3335-6-06](http://trustees.osu.edu/ChapIndex/index.php) (<http://trustees.osu.edu/ChapIndex/index.php>)). If it is possible for the TIU designation to be renegotiated at a subsequent time, there should be some content indicating how such a negotiation would be initiated and concluded.
- what each unit will contribute to the appointment in terms of compensation; office; research space, equipment, and research start up funds; and any other relevant resources, as well as what the process is by which relative contributions could be changed over time
- the defined workload associated with each part of the appointment; the process by which defined the workload associated with the different parts of the appointment can be changed; and the mechanism for resolving workload issues should it be alleged by either the joint appointee or one

of the hiring units that one or both of the units' expectations differ from those agreed to in the MOU

- the annual salary decisions process and whether the units agree to reach consensus on salary increases or each provide its own recommendation based on performance in areas relevant only to its part of the appointment
- In the case of an untenured faculty member, how annual reviews and the review for tenure will be conducted; whether both units must agree on renewal of the appointment and ultimately on the award of tenure for the peer recommendation to be considered positive and if not, how a disagreement on renewal and tenure will be handled. If the units cannot reach an agreement on this extremely important matter, then the hire should not be made.
- in the case of a tenured faculty member how annual reviews and reviews for promotion will be conducted and whether both units must agree that promotion is warranted for the peer recommendation to be considered positive
- the governance rights of the joint appointee in each of the units sharing the joint appointee

2.2 Shared position

Revised: 11/09/04

Edited: 08/01/07

It is possible for a unit to hire two individuals to share a single tenure track faculty position. The following considerations apply:

- The position must necessarily be split 50-50 in order for both parts of the position to be tenure track.
- Letters of offer for such positions must address clearly the extent to which the two positions are independent or interdependent, specifically:
 - the right or lack of right of one party to the other half of the position should that half become vacant
 - untenured positions: the independence or interdependence of annual reappointment and tenure decisions
 - untenured and tenured positions: the independence or interdependence of annual evaluations, salary increases, promotion in rank, and provision of resources such as space and equipment
- Generally it is best to treat the two halves of the position as independent, particularly in any matter involving performance evaluation.

2.3 Courtesy appointments

Revised: 11/09/04

Edited: 08/01/07

Courtesy appointments have 0% FTE and occur when a regular faculty member holds an appointment in one or more units outside the TIU. Units make courtesy appointments with the faculty member's regular title.

TIUs should establish formal expectations for courtesy appointments. Courtesy appointments should be discontinued when expectations are not met.

3.0 Auxiliary faculty

Revised: 07/29/04

Edited: 08/01/07

3.1 Compensated auxiliary appointments

Revised: 08/01/07

Edited: 08/01/07

For definitions and policies regarding auxiliary faculty, see Faculty Rule 3335-5-19 (<http://trustees.osu.edu/ChapIndex/index.php>).

Persons with RTT faculty titles employed at 50% or more FTE may not hold an auxiliary faculty appointment.

Problems and misunderstandings arise when persons with an auxiliary appointment assume that the appointment is ongoing. Therefore it is essential that the letter of offer state not only the time limitations of the appointment but also the unit's policy on the circumstances in which such auxiliary faculty members may identify themselves as Ohio State faculty.

These appointments are appropriate for persons who provide significant, compensated service to the university such as:

- teaching the equivalent of one or more course
- advising graduate students or serving on graduate committees
- serving as a co-investigator on a research project that entails regular interaction with department faculty and students as part of the collaboration

Regardless of title, all auxiliary appointments must entail a letter of offer stating the start and end date with the latter occurring no later than June 30 of the current fiscal year. Appointments will be renewed annually. Appointments carry no presumption of academic tenure.

Renewal requires a new letter of offer and a new action in the HR system.

Nonrenewal requires termination in the HR system effective on the end date as stated in the letter of offer.

3.1.1 Visiting faculty

Revised: 07/29/04

Edited: 08/01/07

Fiscal or programmatic circumstances may sometimes make it appropriate to hire fully qualified faculty under time-limited contracts. Visiting faculty appointments:

- do not require internal posting
- May be renewed for up to three consecutive years at 100% FTE. Part-time appointments may be renewed until the equivalent of three years at 100% FTE is reached.

TIUs may also use the visiting faculty title for the temporary appointment of a faculty member from other institutions, who may or may not be compensated by Ohio State.

Only TIUs may make visiting faculty appointments for temporary duties. A non-TIU unit such as a center that wishes to appoint persons must use an appropriate non-faculty title.

3.1.2 Visiting faculty benefits

Revised: 07/29/04

Edited: 08/01/07

Faculty members who are appointed full time for at least three consecutive quarters both to teach and conduct research may be offered regular faculty benefits. If they do so, they must be designated BE (benefits eligible).

Units must treat all comparable appointments consistently. They must designate either all eligible visiting faculty members as benefits eligible or none.

Non-salaried visiting appointments and those which do not meet the other criteria above are not benefits eligible.

3.1.3 Lecturer

Revised: 07/29/04

Edited: 08/01/07

When personnel other than graduate teaching associates are needed for classroom teaching only, usually on a part-time basis and mainly for lower division courses Lecturer or Senior Lecturer is the appropriate appointment.

Lecturer positions do not require internal posting.

Individual TIUs and colleges shall establish appropriate criteria and associated pay scales for differentiating lecturers from senior lecturers.

3.1.4 Clinical auxiliary

Revised: 07/29/04

Edited: 08/01/07

Clinical auxiliary titles are appropriate for persons compensated to teach and provide patient care in the health sciences at FTE ranging from 1% - 100%.

3.2 Uncompensated auxiliary appointments

Revised: 07/26/04

Edited: 08/01/07

For definitions and policies regarding auxiliary faculty, see Faculty Rule 3335-5-19 (<http://trustees.osu.edu/ChapIndex/index.php>).

3.2.1 Visiting faculty

Revised: 07/26/04

Edited: 08/01/07

TIUs may use the visiting faculty title for the temporary appointment of faculty members from other institutions who are not compensated by Ohio State. This title is also appropriate for visiting faculty from other institutions who are compensated.

3.2.2 Visiting scholar

Revised: 07/26/04

Edited: 08/01/07

This is a non-faculty title, normally not compensated, for visitors to Ohio State (students from other institutions, both domestic and international, or visiting non-academics) who have need of university identification during their time here.

3.2.3 Adjunct and uncompensated clinical auxiliary appointments

Revised: 07/26/04

Edited: 08/01/07

These appointments are appropriate for persons who provide significant, uncompensated service to the university such as:

- teaching the equivalent of one or more course
- advising graduate students or serving on graduate committees
- serving as a co-investigator on a research project that entails regular interaction with unit faculty and students as part of the collaboration
- providing necessary university affiliation so that non-university health care providers may practice in university facilities and/or engage in teaching activities

Such individuals may be either non-university employees or university employees compensated on a noninstructional budget.

Regardless of title, all uncompensated auxiliary appointments must entail a letter of offer stating the start and end date with the latter occurring no later than June 30 of the current fiscal year.

Units should annually review uncompensated clinical auxiliary appointments and only renew those where the purpose of the appointment continues to be met.

Renewal requires a new letter of offer and a new action in the (human resources) HR system. Nonrenewal requires termination in the HR system effective on the end date as stated in the letter of offer.

Problems and misunderstandings arise when persons with an auxiliary appointment assume that the appointment is ongoing. Therefore it is essential that the letter of offer state not only the time limitations of the appointment but also the unit's policy on the circumstances in which such auxiliary faculty members may identify themselves as Ohio State faculty. Abuses of auxiliary faculty titles occur.

3.2.4 Adjunct appointments

Revised: 07/26/04

Edited: 08/01/07

Adjunct appointments are made for the period in which the uncompensated service is provided, not to exceed one year. Renewal is contingent upon continued significant contributions. As stated in Faculty Rule 3335-5-19 (C) (1) (<http://trustees.osu.edu/ChapIndex/index.php>), adjunct appointments are normally not compensated.

OAA will only approve compensation for services provided by adjunct faculty in the rare instances when an individual who normally provides considerable uncompensated service takes on exceptional responsibility. Such compensation requires advance approval by OAA.

APT documents, as well as letters of offer to auxiliary faculty, should clearly state that adjunct appointments are:

- recommended at the discretion of the unit
- made for periods not to exceed one year
- entail no commitment to renew the appointment beyond that period

The following are examples of inappropriate situations for adjunct appointments:

- Ohio State University staff members whose activities, even if somewhat "faculty-like," are covered by their job description. If a staff member requires a faculty title to perform her or his regular job, then that position should be a faculty rather than a staff position.
- The service provided does not require a faculty title and faculty titles are not typically given for such service (supervising off-campus student internships or giving occasional guest lectures).
- Persons who do not provide significant uncompensated service to the university but want to feel affiliated with a unit and/or want the privileges associated with faculty status.
- Persons, whether university employees or not, who teach one or more courses or workshops for pay during an academic year but who do not provide significant uncompensated service.

4.0 Emeritus faculty

Revised: 08/05/05

Edited: 08/01/07

RTT, RCT, and RRT faculty are potentially eligible for emeritus status regardless of their length of service at The Ohio State University (see Faculty Rule 3335-5-19 (E)

(<http://trustees.osu.edu/ChapIndex/index.php>)).

4.1 Criteria for emeritus eligibility of auxiliary clinical associate professors and professors in the health sciences colleges

Revised: 08/05/05

Edited: 08/01/07

OAA reserves the appointment of auxiliary clinical faculty to emeritus status for those who have made outstanding contributions to the college. Over time it is expected that emeritus appointments will be awarded to auxiliary clinical faculty appointees whose performance is consistently among the top 5%. Specific criteria include:

- minimum of 20 years of service to the unit and the college
- unit certification of a minimum of 96 hours of service per year for the 20 years
- hold a clinical appointment at the time emeritus status is recommended
- unit certification that the quality of service ranks in the top 5 to 10 % of all clinical appointees
- unit P&T committee concurs with chair's recommendation

4.2 Perquisites

Revised: 08/05/05

Edited: 08/01/07

Various offices within the university offer perquisites to emeritus faculty. Some of these include:

- emeritus parking hangtag free of charge (application provided by the Office of the Board of Trustees)
- emeritus permanent university ID card permitting library privileges
- continuing use of OSU e-mail account (request by calling the Office of Information Technology's Help Line at 614-688-HELP [4357])
- reduced membership fee offered by the Faculty Club
- football ticket application offered by the Department of Athletics
- annual Faculty/Staff Directory offered at a reduced rate by the Office of the Board of Trustees
- emeritus faculty are eligible to be listed in the Faculty/Staff Directory, to receive campus-wide news publications issued by the university, and to attend Senate and other university and faculty meetings without vote
- The provision of office space, secretarial support, office supplies, and computer use is strictly at the discretion of each unit and/or college.

4.3 Graduate faculty status

Revised: 08/05/05

Edited: 08/01/07

An emeritus faculty member who was a member of the graduate faculty before retirement, remains active in the unit/university, continues to fulfill the other requirements for remaining an active member of the graduate faculty, and remains in the Greater Columbus area, can continue to serve on graduate committees and serve as advisor to students. However, if the unit deactivates their graduate faculty status or they do not fulfill other obligations for maintaining graduate faculty status and the Graduate School deactivates them, then they are not eligible to serve on committees or chair/advise students.

If a graduate faculty member, emeritus or regular, leaves the Columbus area, s/he can finish with students already in progress but cannot take on new students. The Graduate School asks that there be an on-campus co-advisor for students whose advisor leaves the university. The student's graduate program must notify the Graduate School in writing of the departing faculty member and the students involved so we can make note in their files.

4.4 Procedures for faculty emeritus requests

Revised: 08/05/05

Edited: 08/01/07

Colleges should forward written requests for faculty emeritus status to OAA. These requests should include:

- copy of faculty member's letter of intention to retire with retirement date
- short statement of justification from the unit
- cover letter from the college dean stating the emeritus effective date (which may not precede the retirement date)

The Board of Trustees (BOT) will not award emeritus status retroactively. The effective date may not be earlier than the 1st of the month in which the BOT approves the emeritus action at its regular meeting. After the provost has approved the emeritus request, if necessary correcting the effective date because of the Board's meeting schedule, the letter is returned to the college.

Only after the college knows the emeritus request is approved may HR personnel in the unit and/or college enter the emeritus appointment into the HR system. A retirement action must be entered prior to

entering the emeritus action, and the emeritus effective date in the HR system must correspond exactly to the effective date in the letter approved by the provost. The emeritus effective date does not affect the retirement effective date.

Enter emeritus status as a rehire action [0% FTE] using job code 4612 for faculty emeritus.

The HR action of "rehiring" a retired faculty member into Emeritus status should not be confused with the reemployment of retired faculty.

5.0 Reemployment of retired faculty

Edited: 05/08/03

Edited: 08/01/07

For eligibility requirements and guidelines on the rehiring of faculty who have retired from The Ohio State University, see the Office of Human Resources' (OHR) returning retirees web page, www.hr.osu.edu/benefits/retireretiree.htm.

It is acceptable for units, in consultation with their college offices, to negotiate some post-retirement work with non-retired faculty in order to facilitate retirement. However, long-term agreements are inappropriate and even short-term agreements should be made subject to availability of funds, programmatic needs, and performance. Re-employment of retired faculty is not an entitlement and cannot be guaranteed.

Questions regarding restrictions on rehiring retired faculty members may be addressed either to OHR or OAA.

6.0 Endowed chairs or professorships

Revised: 08/05/05

Edited: 08/01/07

Only the BOT can establish a chair or professorship and appoint an individual to hold that position. Units and colleges should defer publicity regarding the establishment of a chair/professorship or the appointment of an individual to that position until action has been taken by the BOT.

6.1 Establishing an endowed chair or professorship

Revised: 08/05/05

Edited: 08/01/07

Units and colleges requesting the establishment of a chair/professorship submit their requests to the BOT for approval only after the required funding level has been reached.

Chairs/professorships are established using the same process as an endowment fund. Units and colleges submit description to Development Administration (www.giveto.osu.edu/index.asp) by the appropriate deadline, to ensure that it can be reviewed prior to going to the BOT for approval. (See the Endowment Approval Schedule maintained by Development Administration.)

After the BOT has approved the establishment of the chair/professorship, the BOT Office will send certified copies of the description to Development Administration for distribution.

6.2 Appointing a faculty member to an endowed chair or professorship

Revised: 08/05/05

Edited: 08/01/07

The college transmits a draft letter of offer to OAA for approval before extending the offer to the candidate. OAA does not require a CV for internal candidates. Since appointments to endowed chairs or professorships are ordinarily made at senior rank, the college must follow OAA guidelines for such appointments and include all required documentation with the draft letter of offer when making an offer to an external candidate.

The letter must state the effective date and length of term (at which time the appointment will be up for renewal) or state that the appointment is open-ended, if the endowment does not specify a length of term. After OAA returns the draft letter of offer to the college, the unit may extend an offer to the candidate. The candidate must acknowledge acceptance of the position in writing.

The college sends or faxes to OAA a copy of the final offer on letterhead along with the candidate's acceptance, either as a signature on the offer letter or as a separate letter.

OAA forwards the offer letter with the candidate's acceptance to the BOT for final approval. The appointment becomes official only upon approval by the BOT.

7.0 Teaching component in unclassified administrative & professional (A&P) staff positions

Revised: 03/25/05

Edited: 08/01/07

If the assigned job duties of an unclassified A&P staff position include teaching, the maximum percentage of time that may be devoted to teaching is 33%.

If teaching is not part of the assigned job duties of an unclassified A&P staff position, teaching may be done for supplemental compensation, subject to the 20% cap that applies equally to faculty and staff.

8.0 Reemployment of tenure track faculty following nonrenewal of appointment or denial of tenure

Revised: 07/26/04

Edited: 08/01/07

OAA must approve the rehire of a RRT faculty member denied reappointment or tenure within three years of the final day of the tenure track appointment. Approval will be based on the nature of the proposed appointment in relationship to the reasons for denial of reappointment or tenure.

Proposals unlikely to be approved would be those to rehire a faculty member to teach or to conduct research in some capacity when unacceptable teaching or research, respectively, was a factor in the denial of reappointment or tenure.

Units should exercise equivalent judgment in considering the rehire of probationary RTT faculty who withdraw from a mandatory review and resign.

Chapter 4 Recruitment and Hiring

1.0 Recruitment of regular tenure track, clinical track, and research track faculty

Revised: 07/26/04

Edited: 08/01/07

1.1 Planning

Revised: 07/26/04

Edited: 08/01/07

The recruitment of RTT, RCT, and RRT faculty to fill vacant positions must be based on a clear and sound plan for the programmatic future of the unit and college and on a realistic determination of the availability of resources to support the appointment. The dean of the college must give prior approval of faculty searches. This approval will be based at least in part on a determination that the above criteria have been met.

Circumstances that suggest considerable caution in the recruitment of regular faculty include:

- declining enrollments
- inadequate resources to support the activities and professional development of current faculty
- other major changes that could affect the need for faculty in particular areas of expertise

While probationary faculty appointments can be terminated for fiscal or programmatic reasons, OAA will base approval of such nonrenewals on the extent to which the unit could have reasonably foreseen, at the time of hiring, the fiscal or programmatic changes underlying the nonrenewal decision.

1.2 Internal posting

Revised: 07/26/04

Edited: 08/01/07

Hiring units must post all faculty searches in the university Personnel Postings through Employment Services, OHR.

1.3 National Search

Revised: 07/26/04

Edited: 08/01/07

All RTT faculty searches must entail a vigorous national search in addition to the internal posting. OAA will, on rare occasion, waive the requirement for a national search for RTT faculty, but the unit and college must be able to convincingly demonstrate why doing so is in the best interests of the unit and university.

External advertising should provide for the maximum possible flexibility in hiring, since any offers extended must be consistent with advertising. If the unit advertises for a faculty member in a particular subspeciality, it cannot fill that position with someone in an entirely different subspeciality. To do so would mean that not only has the unit missed the opportunity to locate the best possible candidate among persons in the latter subspeciality, but has also deprived these persons of the opportunity to apply. By the same reasoning, it is better to designate the salary as negotiable than to state a salary range, and to advertise for all possible ranks unless there is no possibility that the offer will be made above the highest advertised salary or rank.

If the unit is most likely to hire at the assistant professor level, advertising can indicate that the position might be filled at any rank but that assistant professor is preferred.

In the event that a unit wishes to make an offer that is contrary to the salary and rank terms specified in either internal or external advertising, the dean and OAA must approve the deviation, which will be based, in part, on consideration of the extent to which the pool of applicants might have been different had the advertised terms of the position been different.

1.4 Advertisement requirement for hiring of foreign nationals

Revised: 07/26/04

Edited: 08/01/07

Many units regularly attract a high number of foreign nationals as applicants for RTT faculty positions. The probability of hiring foreign nationals for RTT faculty positions is particularly high in the engineering, physical, life, and health sciences.

In order to meet strict U. S. Department of Labor (DOL) requirements for the hiring of foreign nationals, it is essential that academic units place at least one advertisement in a nationally circulated print journal during the recruitment process for tenure track faculty positions.

While many units are beginning to advertise exclusively on-line, such advertisements alone, if not accompanied by at least one print advertisement, do not meet requirements for later sponsorship of foreign faculty for U.S. permanent residency status ("green card").

DOL is unlikely to dispense with the print journal advertisement requirement in the near future. Historically, DOL has accepted advertisements in the *Chronicle for Higher Education* as sufficient to meet the requirement, but prefers advertisements in a journal in a particular field that is likely to yield the highest number of qualified applicants for the position.

Since foreign faculty must obtain permanent residence before promotion or tenure may be awarded, a unit's failure to place at least one advertisement in a nationally circulated print journal may make it impossible for foreign faculty to successfully obtain permanent residence and subsequently be awarded promotion and tenure. If you have questions about this or related matters, please contact the Office of International Affairs (OIA).

1.4.1 Office of International Affairs

Revised: 07/26/04

Edited: 08/01/07

OIA is responsible for assisting academic units in bringing faculty members to Ohio State in the most appropriate status. Foreign candidates under serious consideration are welcome to meet with OIA regarding immigration matters during the visit for the on-campus interview. A unit representative should contact OIA to schedule an appointment. Additional information can be found on the OIA website, www.oie.osu.edu/.

1.5 Diverse pool of applicants

Revised: 07/26/04

Edited: 08/01/07

All searches must include serious efforts to achieve a pool of highly qualified applicants that includes members of underrepresented groups. The university remains strongly committed to diversifying its faculty. Units that lack women and minority faculty must make every possible effort to recruit qualified faculty in these groups.

Every search committee must have a diversity advocate with special responsibility for assuring that the search is conducted according to affirmative action principles. See the OHR policy on Affirmative Action, Equal Employment Opportunity, and Non-Discrimination/Harassment (Policy 1.10) to receive guidance concerning this role.

Advertising is rarely sufficient to accomplish the above goals. Networking and other forms of personal contact with those in a position to recommend or to be candidates are usually required. Search committees should refer to the OHR Guide to Effective Searches (<http://hr.osu.edu/hrpubs/guidesearches.pdfV>).

1.6 Search process

Revised: 07/26/04

Edited: 08/01/07

Search committees make recommendations to the chair following completion of the search process. The charge to the search committee should state clearly the form in which these recommendations are to be made.

On receipt of the search committee's report, the chair may recommend to the dean making an offer to a particular candidate, resuming the search, or canceling the search.

If the chair's likely recommendation is contrary to the recommendation of the search committee, the chair should consult with that body before making a final decision.

1.7 Hires of probationary tenure track faculty

Revised: 07/26/04

Edited: 08/01/07

In hiring faculty into probationary RTT faculty positions, the unit should be firmly convinced that these persons, given their training and record to date, will successfully meet the unit's, college's and university's standards for tenure by the end of the probationary period.

While it is inevitable that some probationary faculty will ultimately be denied tenure no matter how bright the picture at the time of hire, it is unfair to the prospective faculty member and damaging to the institution to hire anyone in the absence of high confidence of success. Risky hires sometimes work out but more often they do not. Units should not put themselves or the university in the position of having to make a negative tenure decision as a consequence of an inappropriate hiring decision. Such behavior harms the reputation of the unit both within and outside the university and may jeopardize its access to future resources.

It is also important that the projected assignments for a proposed probationary appointment be consistent with the criteria and standards for tenure. Given the necessarily substantial emphasis on teaching and research in the tenure decision, it is generally inappropriate to hire untenured faculty for appointments with substantial administrative duties.

1.8 Negotiation with the candidate

Revised: 07/26/04

Edited: 08/01/07

Every letter of offer to a probationary RTT, RCT, and RRT faculty member requires the prior approval of the dean of the college or the dean's designee. Negotiation with a particular candidate should not commence without prior approval of the dean unless the dean has directed otherwise.

1.9 Hires of regional campus faculty

Revised: 07/26/04

Edited: 08/01/07

The regional campus has primary responsibility for determining the position description for a faculty search but it should consult with and seek agreement on the description with the chair of the unit that will serve as the TIU for the appointee.

The search committee for the position should include representation from both the regional campus and the prospective TIU. Candidates should be interviewed by, at a minimum, the regional campus dean, the chair of the TIU, and either the search committee or broader representation of both faculties.

A hiring decision requires agreement on the part of the TIU chair and regional campus dean. Negotiations with a candidate should not begin without such agreement. Both the TIU head and the regional campus dean must sign the letter of offer.

2.0 Letters of offer

Revised: 03/25/05

Edited: 08/01/07

Check this page and the sample letters in Book 6 regularly to assure that the model texts in use in your unit are the most current version.

2.1 Senior rank or with prior service credit

Revised: 07/26/04

Edited: 08/01/07

Appointments at senior rank (associate professor or professor), with or without tenure in the case of RTT faculty members, or at junior rank (assistant professor) with prior service credit, require prior approval by the college dean and OAA of a draft letter of offer accompanied by the following required documentation:

- copy of the draft letter of offer
- candidate's CV
- five (5) external evaluations from credible writers, not all of whom were suggested by the candidate
- reviews and recommendations by the:
 - TIU promotion & tenure committee
 - TIU chair
 - college dean (Consultation with the college promotion & tenure committee is at the discretion of the dean.)

2.1.1 Senior rank: associate or full professor

Revised: 08/01/07

Edited: 08/01/07

Units must demonstrate that the candidate has credentials comparable to those of faculty promoted to that rank in the relevant track (RTT, RCT, RRT) within the university. Since the review process takes time, TIU heads should plan ahead in proposing such appointments. Strong supporting documentation consists of prior achievement of the requested rank in a peer or better unit in a peer or better institution. Achievement of the requested rank at a lesser unit/institution does not.

Units should follow the procedures for recommending appointment of the candidate contained within the unit's APT document, including a vote of the unit faculty if applicable and should also follow the

procedures for recommending promotion with tenure contained within the unit's APT document, including a vote of the P&T committee. These review processes may run concurrently.

2.1.2 Prior service credit (tenure track only)

Revised: 08/01/07

Edited: 08/01/07

Units must demonstrate that the candidate has accomplishments that inspire confidence that the record will warrant a positive recommendation for promotion and tenure at the end of the shortened probationary period.

Units should follow the procedures for recommending appointment of the candidate contained within the unit's APT document, including a vote of the unit faculty if applicable and should also follow the procedures for recommending granting prior service credit contained within the unit's APT document, including a vote of the P&T committee. These review processes may run concurrently.

Lack of prior service credit does not mean that an individual must serve a full probationary period at Ohio State. Earlier review is possible when justified by the record of accomplishment. Therefore prior service credit should not be requested unless a candidate demands it and even in those circumstances the unit should discourage the candidate. Often faculty members with prior service credit experience slowed productivity during the first year or two, resulting in a marginal record at the time of the mandatory review. Prior service credit may be especially problematic for faculty whose prior experience was at a non-peer institution.

3.0 Faculty Hiring Assistance Plan

Revised: 12/09/04

Edited: 08/01/07

OAA makes available Faculty Hiring Assistance Plan (FHAP) funds to encourage academic units to fully implement the convergent goals of the Academic Plan and Diversity Action Plan. These funds may also be used to hire dual-career academic couples (see Section 4.0 of this chapter).

At the conclusion of the unit's faculty recruitment period, TIUs may apply for FHAP support by providing OAA a description of their efforts to fully implement the Diversity Action Plan, including the establishment of minority faculty outreach programs and any other steps they may have taken to create a diverse and well qualified pool of women and minority applicants. OAA will provide three years of cash support to units that are most successful in advancing these goals.

In addition, academic units may request an advance commitment of FHAP funds to support the hiring of outstanding faculty who will advance the various goals of the FHAP. OAA may authorize the recruitment of such faculty without conducting a national search.

Details on the FHAP are made available to the deans each autumn.

4.0 Dual career hiring

Revised: 11/09/04

Edited: 08/01/07

The successful recruitment of well-qualified faculty often requires that the university must accommodate a dual-career couple. In these instances, OAA expects deans and department chairs to cooperate willingly,

constructively and in good faith with the hiring unit for the target candidate to accommodate the other half of the academic couple.

The university does not expect any department/college to hire candidates that do not meet the same quality standards as candidates hired in the receiving department.

The process will be conducted with all deliberate speed to reach a final agreement in time to allow a successful recruitment of the target candidate.

4.1 Definitions

Revised: 11/09/04

Edited: 08/01/07

Revenue—Revenue generated by a faculty member comes from two sources: marginal credit hour revenue and extramural grant support. Marginal credit hour revenue is based on the courses the faculty member is expected to teach and projected enrollments. Extramural grant support includes indirect cost recovery/F&A, salary release time, and graduate student support.

Expenses—Expenses associated with a faculty member include salary, benefits, and start up package.

4.2 Procedure

Revised: 11/09/04

Edited: 08/01/07

The department/college recruiting a candidate where a dual-career hire is a possibility will inform OAA as soon as possible.

The deans of the two units and the vice provost will be the primary negotiators.

OAA will analyze an approximation of the net cost to the unit of the accompanying partner. The net cost will be computed by subtracting total expenses from total revenue. This analysis should be projected for the first five years of the hire.

All calculations, based on a three-year projection, are approximate and OAA acknowledges that an exact determination of the net cost is difficult if not impossible to compute. The negotiations should proceed on the belief that hiring a well-qualified faculty member who is part of a dual-career couple has positive outcomes for both units and the university. Determining the net cost should not become so detailed as to obscure the goal and delay of the hiring process.

5.0 Appointment of foreign nationals

Revised 08/01/07

Edited: 08/01/07

It is becoming more difficult to obtain permanent residency status and may take longer than anticipated. The university has no obligation to continue the probationary appointment of an individual who fails to pursue permanent residency status in a timely way. TIU heads should monitor closely the efforts of untenured foreign nationals to obtain permanent residency.

The university does not grant tenure in the absence of permanent residency.

5.1 Tenure track appointments at senior rank (reviewed and approved for hire with tenure)

Revised 08/05/05

Edited: 08/01/07

Units must inform persons approved for associate professor with tenure or professor with tenure in the letter of offer that although they have been reviewed and approved for tenure, they must obtain permanent residency before tenure may be awarded.

The unit should send appropriate documentation to OAA when permanent residency has been granted. The tenure effective date will be the first of the month in which the tenure action is approved by the BOT, after permanent residency documentation has been submitted.

5.2 Tenure track probationary appointments, regardless of rank (hire without tenure)

Revised 08/05/05

Edited: 08/01/07

Probationary RTT faculty must be informed in the letter of offer that permanent residency status must be obtained before tenure may be awarded, should their mandatory tenure review be successful.

TIUs may not review for promotion and/or tenure probationary faculty lacking permanent residency status prior to the scheduled mandatory tenure review year. Therefore foreign nationals in probationary positions must be extremely diligent in pursuing permanent residency status.

TIUs may proceed with a mandatory review for nonresident probationary faculty in the scheduled review year, but the university will not grant promotion and tenure, if recommended, until the probationary faculty member obtains permanent residency status.

OAA will convert these faculty members to visiting faculty status at the beginning of the academic year following the review year. They will be subject to all policies applicable to visiting positions during this period, including annual renewal of the appointment and possible termination of the appointment at the end of each year.

These faculty members may remain in visiting faculty-BE (with benefits) status for no more than three years. If permanent residency status has not been obtained at the end of three years, the university will terminate their employment.

When these faculty members obtain permanent residency status subsequent to the date on which promotion and tenure would have been effective had they held such status, the Board of Trustees action will determine the actual effective date of promotion and tenure and any accompanying salary increase. Under no circumstances will the effective date be retroactive.

6.0 Hiring faculty from other institutions after April 30

Revised: 07/26/04

Edited: 08/01/07

OAA will not approve letters of offer dated on or after May 1 to faculty holding a tenure track appointment at another institution unless the letter is accompanied by evidence that the other institution has granted such permission.

7.0 Changes in appointment

Revised: 07/26/04

Edited: 08/01/07

7.1 Transfer of tenure initiating unit

Revised: 07/26/04

Edited: 08/01/07

The concept of a TIU and the circumstances under which a RTT faculty member may be considered for transfer to a new TIU are described, along with the necessary approvals, in Faculty Rule 3335-6-06 (<http://trustees.osu.edu/ChapIndex/index.php>).

Approval of the transfer by OAA is dependent on the establishment of mutually agreed upon arrangements between the administrators of the affected academic units, including the deans(s), and the faculty member.

An MOU signed by all parties, including OAA, must describe in detail the arrangements of the transfer. Since normally the transferring faculty member will fill an existing vacancy in the receiving unit, the MOU will describe the resources supporting the position, including salary, provided by the receiving unit.

Rarely will a faculty line be moved from one unit to another to enable a voluntary transfer. To do so would effectively downsize one unit and enlarge another without regard for university priorities and programmatic needs.

The review schedule of probationary RTT faculty is not altered by transferring TIU. Requests for exceptions due to special circumstances must be submitted to OAA before the MOU is finalized.

7.2 Transfer from tenure track to regular clinical or regular research track

Revised: 07/26/04

Edited: 08/01/07

RTT faculty who transfer to another track are required to resign their tenure track position, relinquishing tenure if applicable.

Such transfers are initiated for consideration only upon the written request of the faculty member. Clear evidence must be offered of a change in the individual's career goals and expectations, duties, and activities.

The following Faculty Rules describe the circumstances under which such a transfer may be considered and approved:

- RTT to RCT, Faculty Rule 3335-7-09 (<http://trustees.osu.edu/ChapIndex/index.php>)
- RTT to RRT, Faculty Rule 3335-7-38 (<http://trustees.osu.edu/ChapIndex/index.php>)

Transfer from the RCT or RRT to the RTT is not permitted (see Faculty Rules 3335-7-10 and 3335-7-39 (<http://trustees.osu.edu/ChapIndex/index.php>) respectively). Faculty may apply for RTT positions and compete in regular national searches for such positions.

7.3 Reduction in FTE

Revised: 03/25/05

Edited: 08/01/07

7.3.1 Regular tenure track faculty

Revised: 03/25/05

Edited: 08/01/07

If a part-time appointment was not included in the terms of hire as stated in the letter of offer, RTT who desire a reduced appointment (less than full-time but not less than 50%), whether temporary or permanent, must consult with the TIU head.

RTT faculty are defined in Faculty Rule 3335-5-19 (A) (<http://trustees.osu.edu/ChapIndex/index.php>) as holding an appointment of 50% FTE or greater. Persons with a regular faculty title on an appointment of 49% FTE or less are auxiliary (non-regular) faculty.

Upon the faculty member's request, the TIU head, with the approval of the college dean, has the authority to grant a reduction in FTE. In colleges without units, the dean has final authority. The letter directed to the dean should state all relevant information (the amount of the reduction, when it will take effect, whether it is permanent or temporary).

7.3.1.1 Definitions

Revised: 03/25/05

Edited: 08/01/07

Temporary reduction: a temporary reduction has a specified end date with a guarantee of return to the previous FTE.

Permanent reduction: a permanent reduction is one without a specified end date. In this situation the faculty member must understand that no right to a future change of FTE is assumed.

7.3.2 Probationary tenure track faculty

Revised: 03/25/05

Edited: 08/01/07

A reduction in FTE does not involve an automatic extension of the probationary period, even though the projected revised dates may be mentioned in the letter approving the reduction, as is often the case. Probationary RTT faculty whose appointment is less than full-time but not less than 50% may request an extension of the probationary period in accordance with Faculty Rule 3335-6-03 (F) (<http://trustees.osu.edu/ChapIndex/index.php>).

By policy OAA does not approve extensions in advance. Rather, during the second year of a faculty member's reduced appointment, OAA will approve an extension of one year, for example, in recognition of two years of service at 50% FTE. At the appropriate time a letter requesting approval of the extension is forwarded by the TIU head to the dean and then OAA.

For probationary faculty, the letter directed to the final level of approval should state (in addition to the amount of the reduction, when it will take effect, and whether it is permanent or temporary) a projected revision of the review schedule and the projected year in which the adjusted Fourth-year Review would fall (if the Fourth-year Review has not already occurred).

7.3.3 Regular clinical and research track faculty

Revised: 03/25/05

Edited: 08/01/07

RCT and RRT faculty who wish to renegotiate their FTE during a contract period must consult with the TIU head. The agreement of the parties who initially approved the appointment is required to approve a change in FTE.

7.4 12- and 9-month appointment conversions

Revised: 07/26/04

Edited: 08/01/07

7.4.1 Conversion ratio

Revised: 07/26/04

Edited: 08/01/07

Faculty who do not hold an administrative appointment will normally convert between a 12- and a 9-month appointment using a 12/9 or a 9/12 salary conversion ratio. Any other arrangement requires the approval of OAA.

See Section 3.3 on faculty extra compensation for information regarding faculty who step down from an administrative appointment.

7.4.2 Vacation time

Revised: 07/26/04

Edited: 08/01/07

When a faculty member converts from a 12- to a 9-month appointment, all accrued vacation is forfeited.

7.5 Transfer of campus

Revised: 07/26/04

Edited: 08/01/07

The circumstances under which a faculty member may be considered for a transfer from one campus to another are described in Faculty Rule 3335-6-07 (<http://trustees.osu.edu/ChapIndex/index.php>).

The provost's approval of the transfer is dependent on the establishment of a mutually agreed upon financial arrangement between administrators of the affected academic units, including the dean(s).

Chapter 5 Compensation

1.0 Principles

Revised: 03/25/04

Edited: 08/01/07

Compensation decisions should support the recruitment, performance, and retention of high-quality faculty and staff.

Units must offer benefits to RTT, RCT, and regular research track (RRT) faculty.

The compensation rate for individual positions is primarily established by relevant competitive markets, as well as the impact of individual positions on the unit's mission, as feasible within the unit's budget. Compensation rates for individuals should vary with the credentials and performance of individuals

holding the positions. Compensation decision makers should monitor equity patterns across groups of similarly employed individuals and address observed inequities in a timely way.

Step, across-the-board, longevity, cost-of-living, or other increases indicative of minimum entitlements may have an adverse effect on equity by negating appropriate variation among individuals. Such increases are not a part of the university's compensation strategy except in extraordinary circumstances.

Salary increase calculations based on actual dollars rather than on percentages of pre-existing base salaries permit flexibility in addressing market considerations and equity. Unit heads should determine the actual dollar figure of an individual's compensation on the basis of performance and market considerations. Unit heads should then distribute annual salary increase in a way that allows the maximum number of faculty and staff to receive appropriate compensation.

One-time cash payments are permissible to reflect truly outstanding achievements on time-bound projects and/or to supplement the salary increase process in recognizing unusually outstanding performance. With few exceptions (such as a bona-fide variable compensation program), a one-time cash payment should not be used as a substitute for a permanent salary increase where the latter is justified.

Zero increases are appropriate in the following instances:

- Inadequate performance. In such instances the performance deficiencies should be documented and communicated to the individual throughout the performance cycle, to the extent permitted by available information.
- Failure by an individual to provide required documentation of his/her performance.
- Current salary substantially exceeds market or salaries of other individuals within the same unit with similar duties, levels of performance, and experience/qualifications.

Units may offer benefits to full-time, full academic year visiting faculty appointees who will be engaged in both teaching and research as an academic unit treats all individuals who meet the eligibility criteria equally. The offering unit must have the funds available to cover the cost of the benefits and should designate benefits-eligibility (BE) when entering the appointment in the HR System.

Also see Employee Benefit Program Eligibility Booklet (<http://hr.osu.edu/policy/empben/index.aspx>) of OHR, specifically the section concerning regular faculty at 50% FTE or greater.

2.0 Faculty extra compensation

Revised: 07/26/04

Edited: 08/01/07

Supplemental compensation may not exceed 20% of the base salary per fiscal year. Supplemental compensation in excess of 20% of the base salary is rare and must be justified by unusual circumstances.

Supplemental compensation is for temporary work clearly beyond the faculty member's normal assignments, in an amount appropriate to the allocation of time necessary to complete the extra assignment. The extra assignment should be nonrecurring and clearly limited in time and scope.

Department chairs, school directors, deans, and other principal administrative officers (as defined in University Bylaws 3335-1-03 (<http://trustees.osu.edu/bylaws/index.php>)) are ineligible for supplemental compensation per OHR Policy 3.35.

Faculty compensation in excess of the base salary may take the form of:

- supplemental compensation
- off-duty quarter compensation for 9-month faculty
- one-time cash payment
- administrative compensation
- external consulting fee

All arrangements for extra compensation require administrative approval. Units must secure approvals before the extra work is carried out in order for the faculty member to be compensated for the work.

2.1 Required approvals

Revised: 07/26/04

Edited: 08/01/07

Columbus campus: TIU head and college dean.

Regional campus: Regional campus dean/director.

The relevant administrator(s) must consider whether the faculty member is fully and satisfactorily performing all responsibilities for which the base salary is paid, as well as the impact of the extra work on the performance of these responsibilities plus any concurrent extra compensation arrangements. Both the interest of the university and the university's responsibility as a public institution require that faculty who are underperforming in any aspect of their primary position not receive enhanced compensation.

2.2 Off-duty quarter appointment for 9-month faculty

Revised: 07/26/04

Edited: 08/01/07

Off-duty quarter appointments for 9-month faculty may not exceed 2/9 of the base salary from university funds except for administrative attachments (see below). Supplemental compensation may not be used to exceed this limit.

Off-duty quarter appointments for 9-month faculty may not exceed 3/9 of the base salary from external grant and contract funds as long as the university funds portion does not exceed 2/9. Off-duty quarter compensation is paid in equal payments across the three months. Nine-month faculty earning 3/9 during the off-duty quarter are expected to be on duty during these three months.

2.3 One-time cash

Revised: 07/26/04

Edited: 08/01/07

A one-time cash payment is generally an after-the-fact bonus for exceptional work on a non-continuing project that was not otherwise subject to extra compensation, or a negotiated bonus given upon the accomplishment of written goals. For additional information see OHR Policy 3.15.

3.0 Administrative compensation

Revised: 07/26/04

Edited: 08/01/07

Major administrative assignments may entail additional compensation, appropriate to the magnitude of duties, in the form of a temporary administrative attachment and/or off-duty quarter appointment.

Administrative compensation is added at the beginning of the appointment and removed at its conclusion. When a faculty member steps down from a 12-month administrative appointment to a 9-month faculty appointment, all accrued vacation is forfeited. See Chapter 5, Section 7.4 of this book for information on converting between 9- and 12-month appointments.

3.1 Required approvals

Revised: 07/26/04

Edited: 08/01/07

The dean (unless the prospective appointment is for the dean) and OAA.

3.2 Administrative attachments

Revised: 07/26/04

Edited: 08/01/07

An administrative attachment may be treated as supplemental compensation only for administrative appointments less than one year in duration.

Administrative attachments may not exceed 10% of the base salary.

An administrative attachment may be included in an off-duty quarter appointment (see below) for 9-month faculty in an administrative position when justified by specific responsibilities associated with the appointment.

3.3 Off-duty quarter appointment

Revised: 07/26/04

Edited: 08/01/07

An off-duty quarter appointment may not exceed 2/9 of the base salary.

An off-duty quarter appointment may be appropriate for 9-month faculty in an administrative position. Off-duty quarter compensation may consist of a flat dollar amount or be computed in terms of ninths, not to exceed 2/9 of the base 9-month salary. It may or may not include an administrative attachment.

3.4 Exceptions

Revised: 07/26/04

Edited: 08/01/07

Exceptions to the administrative compensation policies stated here (the retention of administrative salary add-ons when an administrator returns to the faculty) will be considered on a case-by-case basis. Specific proposals should be forwarded to OAA for review.

Only in the case of exceptional performance may the administrative attachment be phased out over a period not to exceed two years following the conclusion of the appointment. A chair or other college administrator who has completed two or more consecutive terms or the equivalent, however, would likely be permitted to retain the administrative attachment (not to exceed 10%) in lieu of a raise.

4.0 Paid external consulting

Revised: 07/26/04

Edited: 08/01/07

See the Senate Policy on Paid External Consulting, Book 4.

4.1 Required approvals

Revised: 07/26/04

Edited: 08/01/07

Deans: Provost.

Central administrators: President or provost (per reporting line).

Columbus campus faculty: TIU head and college dean.

Regional campus faculty: Regional campus dean/director.

4.2 External consulting fee

Revised: 07/26/04

Edited: 08/01/07

Although the university does not monitor the dollar amount of external consulting income, all consulting activity requires administrative approval. In considering whether to approve a consulting arrangement, the relevant administrator(s) should assure that:

- The faculty member's total involvement in extra work, both within and beyond the university, does not exceed one business day per week.
- The faculty member is performing all regular duties fully and satisfactorily.
- All potential conflict of interest issues are resolved.

5.0 Faculty Professional Leave

Revised: 08/01/07

Edited: 08/01/07

The base salary is reduced during a Faculty Professional Leave (FPL) by 1/3 over a three- or four-quarter leave. The reduced salary may be augmented by the types of extra compensation noted below subject to the following essential conditions:

- The level of the regular base salary is not exceeded.
- No general funds are involved in any amount.
- The activity to be compensated supports and does not interfere with the purposes of the FPL.

The faculty member, at his/her discretion, may augment his or her reduced salary by funds from external research grants or contracts or other non-general funds sources.

The unit, at the unit head's discretion, may augment the faculty member's reduced salary with development funds or other non-general funds sources.

Supplemental compensation during an FPL is usually inappropriate, as the extra work detracts from the purposes of the leave. Further, such extra work may be undertaken only if paid from non-general funds sources. Under no circumstances units may supplement an FPL-reduced salary by general funds.

6.0 Unpaid Leave of Absence

Revised: 07/26/04

Edited: 08/01/07

A faculty member on a Board of Trustees (BOT)-approved Unpaid Leave of Absence is by definition not in active pay status. Consequently, pay for work is inappropriate as it returns the faculty member to active pay status in violation of the BOT action. The faculty member should give full consideration to this constraint before seeking approval for an unpaid leave. An option to consider in place of an unpaid leave is a temporary reduction in appointment, but a reduction below 50% will entail loss of tenure (Faculty Rule 3335-5-03 (<http://trustees.osu.edu/ChapIndex/index.php>)).

7.0 Income generating programs

Revised: 07/26/04

Edited: 08/01/07

Colleges that offer income generating educational programs to off-campus offices may negotiate agreements with OAA that allow exceptions to the 20% cap on supplemental compensation, where paying market rates for such activity would necessitate exceeding the cap for some individuals.

The time commitment for this and all other extra compensation must not exceed one business day per week even if the 20% compensation cap is exceeded.

Colleges must forward requests for such an exception to OAA for approval. The proposal requesting the exception should contain the following information:

- description of the income-generating program
- supporting data to justify the need for the exception
- estimate of the number of faculty likely to have supplemental compensation exceeding the cap
- extent to which the cap will be exceeded
- formal plan for monitoring faculty time commitment and performance in regular duties

8.0 Counter offers

Revised: 07/26/04

Edited: 08/01/07

Highly productive faculty members are attractive colleagues to other institutions. When a department wants to retain a faculty member who receives an offer from another institution, a counter offer may be appropriate. The department is not obligated to provide a counter offer if circumstances do not warrant it.

All salary counter offer proposals, as well as requests for off-cycle promotion as part of a counter offer, require prior approval by the dean and OAA.

8.1 Funding

Revised: 07/26/04

Edited: 08/01/07

In most cases, the funding of a counter offer is shared between the department/college and OAA in the following manner:

- The department/college is expected to provide an annual pay increase at or above the year's average guideline increase.

- OAA will fund no more than 50% of the amount beyond the guideline increase, with the department/college expected to fund the remainder. OAA's contribution consists of cash for three years only.
- If the counter offer includes a request for promotion, OAA will fund a promotion increase in line with current guidelines.
- Except for promotion increases, central funding for counter offers is not guaranteed. Departments must make a request for such funding and include a copy of the letter of offer from the other institution as part of the documentation.

8.2 Effective date

Revised: 07/26/04

Edited: 08/01/07

Salary increases associated with counter offers will normally be effective at the beginning of the next appointment year (July 1 for 12-month faculty and October 1 for 9-month faculty). OAA will not provide its portion of the funding until that time.

Where approval is given for an immediate salary increase, the unit must cover the cost from its own funds.

8.3 Promotion

Revised: 07/26/04

Edited: 08/01/07

Requests for off-cycle promotion as part of a counter offer must include documentation comparable to that prepared during a regular review before it is submitted to OAA, that is, review at the TIU level followed by review by the dean. Consultation with the college P&T committee is at the discretion of the dean.

9.0 Salary equity and market adjustments

Revised: 07/26/04

Edited: 08/01/07

The unit head initiates a proposal to provide a salary equity or market increase. A proposal to provide a salary equity increase may also be the result of review under the Faculty Salary Equity Appeals Process.

Equity and market increases are normally provided at the beginning of the individual's next appointment year (July 1 for 12-month faculty and October 1 for 9-month faculty) and are funded out of regular raise monies.

A unit head may request permission to make an immediate mid-year adjustment when the need for such an adjustment is established well in advance of the beginning of the next appointment year.

It is inappropriate for a unit head to propose or to offer retroactive adjustments. OAA will not approve retroactive salary equity and market increases.

9.1 Required approvals

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, and OAA

Regional Campus: Regional campus dean and OAA

The request for such an adjustment must include both an adequately detailed explanation to establish that an inequity or substantial deviation from market salary exists and why it was not possible to make the adjustment at the normal time. Units should not inform a faculty member that an equity or market adjustment will be made before all the required approvals have been obtained.

9.2 Pay rate changes in HR system

Revised: 07/26/04

Edited: 08/01/07

Any pay adjustment that will carry the Equity/Market/Performance (EQU) Reason Code should not be entered into the HR system until the above approvals have been obtained.

10.0 Mid-year salary increases

Revised: 07/26/04

Edited: 08/01/07

Salaries should be adjusted at the beginning of each faculty member's annual appointment year (July 1 for 12-month employees and October 1 for 9-month faculty) except in unusual circumstances. The request to give a midyear increase must include an explanation both for the increase and for why it was not possible to make the adjustment at the normal time. Units should not inform a faculty member that a midyear increase will be given before all the required approvals have been obtained.

It is inappropriate for a unit head to propose or to offer retroactive adjustments. OAA will not approve retroactive salary equity and market increases.

10.1 Required approvals

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, and OAA

Regional Campus: Regional campus dean and OAA

10.2 Pay rate changes in HR system

Revised: 07/26/04

Edited: 08/01/07

Units should not enter any midyear salary increase that will carry the Equity/Market/Performance (EQU) Reason Code into the HR system until approvals have been obtained.

Book 2 Faculty

Chapter 1 Faculty Development

1.0 Faculty Professional Leave

Revised 11/09/04

Edited: 08/01/07

The Ohio State University Board of Trustees (BOT) approved a Faculty Professional Leave Program (FPL) for this institution on 9/9/77 (Resolution No. 78-21) based on Ohio Revised Code 3345.28 (<http://codes.ohio.gov/>). The BOT resolution requires each college and TIU to establish formal criteria and procedures for reviewing the merits of proposals submitted from faculty in their units. It is essential that there be careful planning and rigorous peer review of FPL proposals and that the approved purpose for these leaves be strictly fulfilled.

FPL proposals generally emphasize enhancement of research skills and knowledge. However, faculty members may use an FPL for substantial investment in pedagogical or administrative skills and knowledge when these are judged to be mutually beneficial to the faculty member and his or her academic unit.

The FPL program was created to give faculty a period of uninterrupted time to invest in their professional development. Activities that entail little or no investment in new skills and knowledge are not appropriate for the program. In addition, faculty should restrict other employment activity during a leave to that which clearly enhances the purposes of the leave (see Book 1, Chapter 6, Section 5.0).

In evaluating FPL proposals, units and colleges should place greatest weight on the merits of the proposal in light of the professional development of the faculty member and the advancement of the academic mission of the unit and college.

Although there are many advantages to spending the FPL at another university or in industry or at some other appropriate institution, such an appointment is not essential if the plan for the leave is meritorious in its own right.

1.1 Required approvals

Revised 11/09/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, OAA, BOT.

Regional Campus: Regional campus dean, TIU head, OAA, BOT.

The college or regional campus sends OAA an original and one copy of the complete application including all attachments, except item 13 (curriculum vitae). Submit only one copy of the CV.

Proposals should reach OAA at least two months prior to the start of the proposed leave. Individual colleges and regional campuses may establish their own deadlines for reviewing FPL proposals.

OAA will approve FPL proposals that are consistent with the technical requirements of the program and that have been approved by the TIU head and college dean or regional campus dean. Once approved by OAA, leaves are recommended to the BOT for final approval. OAA notifies the college dean or regional campus dean when BOT approval has been granted.

Regional campus proposals are reviewed and approved first by the regional campus dean and then forwarded to the TIU head for approval. The proposal is then returned by the TIU to the regional campus, which is responsible for submitting the leave application to OAA. The college office in which the TIU is located is notified, but is not directly involved in the approval process.

1.2 Timing

Revised 03/02/07

Edited: 08/01/07

An FPL should be considered for any period of intensive study or research not to exceed one academic year.

A multi-quarter FPL need not be for a continuous period and may bridge an off-duty quarter or semester.

An SRA and an FPL may occur in contiguous on-duty quarters or semesters (including spring-autumn). An FPL will not be granted for less than one quarter.

1.3 Eligibility

Revised 11/09/04

Edited: 08/01/07

Ohio Revised Code 3345.28 (<http://codes.ohio.gov/>) specifies that only tenured faculty members with at least seven years of service as a regular faculty member at Ohio State are eligible for an FPL at this institution. Years of service at another university and years served in auxiliary appointments cannot be credited toward the required years of service at Ohio State.

Definition of a "year of service" per BOT Resolution No. 78-21: "Academic year of teaching service" shall mean any academic year in which the full-time faculty member, while in such status, whether on nine months or eleven months appointments, had significant responsibilities to an instructional unit or units of the university.

When a faculty member has taken one or more unpaid Leaves of Absence (LOA) in the course of a seven year period, the years of service will be calculated according to the following guidelines, applicable both to 9- and 12-month faculty. In calculating seven years of service an academic year counts as one full year of service if the faculty member was on full-time duty at least two quarters or one semester of that year.

Situations when a faculty member holds less than a full-time appointment will be resolved on a case by case basis by OAA.

A faculty member who takes an FPL, regardless of its duration (one or two semesters or one, two or three quarters), becomes eligible again only after completing an additional seven years of service at Ohio State after the last term of the FPL has been completed.

1.4 Compensation

Revised 03/02/07

Edited: 08/01/07

Quarters on Leave	Salary Reduction
1 or 2	No reduction
3 or 4	1/3 over the year
Semesters on Leave	Salary Reduction
1	No Reduction
2	1/3 over 2 semesters

The salary as calculated above represents the total amount that may be earned from Ohio State general funds. Thus units and colleges may not rehire faculty during the period of their FPL leave to teach or to engage in other supplemental compensated activities.

The FPL application should describe any non-Ohio State compensation that the faculty member will receive during the period of the FPL. Double compensation is illegal under Ohio law. The university cannot pay someone for the same work that an external body is also paying. The BOT resolution permits faculty on FPL for longer than one quarter to augment their leave stipend with funds from external sources such as research grants, provided that:

- the activity to be compensated supports the purposes of the FPL
- the combined external support and reduced leave stipend do not exceed the level of the regular annual salary

In the event that external support funds are available that produce a salary higher than the regular annual salary, the excess must be used to reimburse the university for its costs. When a faculty member documents substantial increased living costs necessitated by the leave, an exception to this policy may be made with the approval of the appropriate dean and the provost.

Colleges may create, with the approval of OAA, competitive programs for replacing, from non-general funds sources, some or all of the reduced salary associated with an FPL.

1.5 Faculty obligations

Revised 11/09/04

Edited: 08/01/07

As part of the application process, faculty members are required to sign a three-part statement that:

- they understand and accept their obligation to return for a full year of service to the university following completion of the FPL
- they understand that supplemental compensation, or other compensation from university general funds, is not permitted during an FPL
- they are required to submit a written report (see below) of goals and accomplishments within 60 days of the date of their return to service

1.6 Report

Revised 11/09/04

Edited: 08/01/07

The FPL Report form is not required so long as the requested information—a brief summary of goals and accomplishments—is submitted. Please send to the attention of Bobbie Houser by any of the following methods:

- campus mail—203 Bricker Hall, 190 North Oval Mall
- FAX—614-292-3658
- E-mail—Houser.73@osu.edu (report may be either in the body of the message or attached as a .doc or .pdf file)

The report is ordinarily copied to the TIU head and college dean or regional campus dean if applicable; however, the TIU and college may ask for a more detailed report than the brief summary required by OAA.

1.7 Changes in timing or cancellation

Revised 11/09/04

Edited: 08/01/07

The State of Ohio annually monitors the timing and completion of FPLs. FPLs are a matter of public record; therefore, faculty members may not cancel or change the timing of a leave without submitting a written request for the change through the same levels of approval listed above.

No special form is required to change or cancel an FPL, but the request must be made in writing.

The faculty member submits a written explanation to the TIU head or regional campus dean, which is directed to OAA after signatures of concurrence at the next level have been added.

OAA submits the change or cancellation to the BOT for final approval as a matter of public record and notifies the college dean or regional campus dean when BOT approval has been granted.

Changes in timing may occur prior to the start of the leave or during the leave.

2.0 Special Research Assignment

Revised: 05/14/01

Edited: 08/01/07

The Special Research Assignment (SRA) releases a faculty member from regular duties for a period of up to one full quarter or semester so that he or she may concentrate on a scholarly endeavor or invest in a relatively brief professional development opportunity.

In evaluating SRA proposals, units and colleges should assure that the plan will both benefit the faculty member and advance the academic mission of the unit and college. An SRA may be completed on campus or away from campus.

SRA proposals generally emphasize completion of a research project or enhancement of research skills and knowledge. However, an SRA may be used for investment in pedagogical or administrative skills and knowledge when these are judged to be mutually beneficial to the faculty member and his or her academic unit. SRAs are not to be used for course development or service assignments.

2.1 Required approvals

Revised: 05/14/01

Edited: 08/01/07

Columbus Campus: TIU chair, college dean.

Regional Campus: TIU chair, regional campus dean.

2.2 Timing

Revised: 05/14/01

Edited: 08/01/07

An SRA is normally granted for one academic quarter or semester. However, SRAs of shorter duration are possible.

SRAs should not be granted unless the faculty member can be released from most duties.

For any period of intensive study or research exceeding one quarter or semester, the FPL Program should be considered.

2.3 Eligibility

Revised: 05/14/01

Edited: 08/01/07

Any faculty member is eligible who needs one quarter or semester or less of released time from other duties in order to concentrate on a scholarly endeavor or to invest in a brief professional development activity, such as a month-long workshop outside of central Ohio.

SRAs should be awarded on a competitive basis within the TIU and/or college or regional campus. While there is no university designated limit on the number of SRAs that may be granted over the course of the academic year, units must assure that sufficient faculty are on duty at all times to meet obligations to students and other constituencies, and to conduct regular business. If they wish, individual TIUs and/or colleges or campuses may designate local limits on the number of SRAs that they will grant during an academic year.

2.4 Compensation

Revised: 05/14/01

Edited: 08/01/07

Units pay full salary to the faculty member since the SRA is normally of one-quarter or semester duration. It is inappropriate to supplement compensation from general funds during an SRA.

If a faculty member will be paid full salary by another institution during the period in question, the faculty member should request an unpaid Leave of Absence (LOA) (see Section 3.0 of this chapter) rather than an SRA. Double compensation is illegal under Ohio law. The university cannot pay someone for the same work that an external body is also paying.

The SRA application should describe any non-Ohio State compensation that the faculty member will receive during the period of the SRA.

3.0 Unpaid leaves of absence

Revised: 07/26/04

Edited: 08/01/07

Faculty members may request an unpaid leave of absence for personal or professional reasons, including family difficulties or other matters that prevent a faculty member from carrying out duties for a relatively short period of time or illness that continues after a faculty member has used up paid sick leave.

Paid sick leave should always be used before a leave of absence is granted for illness.

In the event that the illness turns out to be long-term and disability retirement becomes necessary, STRS will not consider disability retirement until paid sick leave has been exhausted.

Professional reasons include the opportunity to take a temporary paid position outside the university that will enhance professional development and increase the faculty member's value to the academic unit on his or her return. A copy of the letter of offer to the faculty member setting forth the terms and goals of the temporary position must be attached to the faculty member's request for approval.

Leaves of absence are not granted in the following circumstances:

- to untenured faculty in their terminal year of employment
- to faculty who have accepted new permanent employment

If the reason for the request includes the opportunity to take a temporary paid position outside the university that will enhance professional development, the faculty member must attach to the request a copy of the letter of offer setting forth the terms and goals of the temporary appointment.

Faculty on an unpaid leave of absence may not be compensated by the university during the period of the leave as the leave is, by definition, a period without pay. Supplemental compensation is inapplicable when there is no base pay.

Approval is necessarily based on the reasonableness of the request; the availability of suitable instructional staff to cover the faculty member's teaching responsibilities; and, in the case of leaves for professional purposes, the potential value of the proposed leave to the TIU.

Units and colleges that grant leaves without OAA and BOT approval not only violate institutional policy but also put the institution at risk.

3.1 Required approvals

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, OAA, BOT.

Regional Campus: Regional campus dean, OAA, BOT.

3.2 Timing

Revised: 07/26/04

Edited: 08/01/07

A leave of absence is granted for no more than one year at a time and may not exceed two consecutive years.

3.3 Procedures

Revised: 07/26/04

Edited: 08/01/07

The faculty member writes a letter to the TIU head, or regional campus dean if applicable, explaining the reason for the request, the timing of the leave, and suggested arrangements for covering his or her teaching responsibilities.

No special form is required. Approval signatures may be either added directly to the faculty member's request letter, or a separate letter of approval may be generated and attached before forwarding to the next level.

Following tentative approval by OAA and before the leave is submitted to the BOT for approval, the unit/college must obtain written approval from the faculty member's prospective new employer to place the individual on leave of absence status at Ohio State.

3.4 Changes

Revised: 07/26/04

Edited: 08/01/07

Faculty members may not cancel or change the timing of an unpaid leave without submitting a written request for the change through the same levels of approval listed above. Changes require approval by the BOT.

No special form is required to change or cancel a leave of absence but the request must be in writing. Changes in timing may occur prior to the start of the leave or during the leave.

3.5 Extraordinary circumstances

Revised: 07/26/04

Edited: 08/01/07

In rare circumstances, OAA will approve a one-year leave of absence for a truly exceptional faculty member (a member of the National Academy of Science or the equivalent) who has accepted new permanent employment, if there is a reasonable chance that providing the leave of absence will facilitate the faculty member's return to Ohio State at the conclusion of the leave.

In instances where an leave of absence for a departing faculty member is not appropriate in light of the above guidelines but a unit and college wish, nonetheless, to facilitate that individual's return to Ohio State, the chair and dean may request approval from OAA, within two years of departure, to rehire the faculty member into a vacant position without a national search. The unit/college may not promise the faculty member in advance to rehire him or her at some future date since intervening events could make it undesirable or not feasible to follow through on such a commitment.

4.0 Entrepreneurial unpaid leaves of absence

Revised: 07/26/04

Edited: 08/01/07

A faculty member may request an entrepreneurial unpaid leave of absence when a company offers him/her a regular paid position because of his/her expertise with a particular technical problem or process.

The university does not grant leaves of absence:

- to untenured faculty in their terminal year of employment
- to faculty who have accepted new permanent employment

Faculty on an unpaid leave of absence may not be compensated by the university during the period of the leave as the leave is, by definition, a period without pay. Supplemental compensation is inapplicable when there is no base pay.

Units and colleges that grant leaves without OAA and BOT approval not only violate institutional policy but also put the institution at risk.

No special form is required. Approval signatures may be either added directly to the faculty member's request letter, or a separate letter of approval may be generated and attached before forwarding to the next level.

4.1 Required approvals

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, Office for Technology Licensing, OAA, BOT.

Regional Campus: Regional campus dean, Office for Technology Licensing, OAA, BOT.

4.2 Timing

Revised: 07/26/04

Edited: 08/01/07

Requests for entrepreneurial unpaid leaves of absence may not be for more than one year at a time and may not exceed two consecutive years.

4.3 Procedures

Revised: 07/26/04

Edited: 08/01/07

The faculty member writes a letter to the TIU head, or regional campus dean if applicable, to include the following required content, and with a copy of the letter of offer from the prospective employer attached.

The letter of offer from the prospective employer must include the following:

- statement of terms and goals of the appointment
- statement of understanding of and concurrence with the faculty member's status on unpaid leave from the university

- statement of affirmation that appointment of the faculty member to this position is deemed crucial to the success of the company

The faculty member's request letter must include the following:

- explanation of the reason for the request, timing of the leave, and the potential benefits of the entrepreneurial experience to his or her professional development and to the TIU, college and university
- suggested arrangements for meeting his or her responsibilities during the leave of absence
- statements that he or she understands and is committed to:
 - observe college and university entrepreneurial unpaid leave of absence policies and procedures
 - observe university conflict of interest policies and procedures
 - observe university guidelines governing faculty participation in companies commercializing research that faculty have performed as employees of Ohio State
 - statement to the Office for Technology Licensing that discloses any discoveries, inventions, designs, know-how, software, and/or any other intellectual property that he or she has developed while a faculty member of Ohio State and that may be related, either directly or indirectly, to his or her activities with the company while on entrepreneurial leave of absence

4.4 Changes in timing or cancellation

Revised: 07/26/04

Edited: 08/01/07

Faculty members may not cancel or change the timing of an unpaid leave without submitting a written request for the change through the same levels of approval listed above. Changes require Board of Trustees approval.

No special form is required to change or cancel a leave of absence but the request must be in writing. Changes in timing may occur prior to the start of the leave or during the leave.

5.0 Exclusion from the probationary period

Revised: 03/02/07

Edited: 08/01/07

5.1 Birth of a Child or Adoption of a Child under Age Six

Revised: 03/02/07

Edited: 08/01/07

Units will notify OAA within one year of the birth of a child or the adoption of a child under age six of a probationary faculty member. One year will be excluded automatically from the probationary period unless a nonrenewal notice has been issued.

Requests to decline a one-year exclusion under Faculty Rule 3335-6-03 (D) (2)

(<http://trustees.osu.edu/ChapIndex/index.php>) must be submitted on the Declination of Exclusion of Service Time from Tenure Probationary Period form.

5.2 Adverse events

Revised: 03/02/07

Edited: 08/01/07

Annually every unit should remind its probationary faculty (other than those who have received nonrenewal notices) of Faculty Rule 3335-6-03 (D) (2) (<http://trustees.osu.edu/ChapIndex/index.php>).

Under this rule the maximum time that may be excluded from the probationary period is three years of service, except in extraordinary circumstances.

Applications to exclude time under this rule must be submitted on the Request for Exclusion of Service Time from the Tenure Probationary Period form.

Requests to exclude time under Section (D) (2) require, in addition to the form, the following items:

- unit promotion & tenure committee review
- documentation of the adverse event leading to the request including, if not self-evident, why the adverse event was beyond the faculty member's control and how it interfered with productivity
- documentation of the faculty member's productivity to date

The adverse events providing the basis for the request must be clearly beyond those experienced by most probationary faculty. For example, most faculty who conduct laboratory-based research must purchase equipment, obtain various kinds of approvals (drug licenses or animal research protocols), and obtain funding before they can begin their research. To the extent that such delays are normal, they do not constitute a basis for an exclusion of time from the probationary period.

The unit may postpone consideration of a request to exclude time due to an adverse event that occurs early in the probationary period, when such postponement is reasonable given the circumstances, in order to see whether or not productivity will return to the expected level after that event.

As stated in Faculty Rule 3335-6-03 (<http://trustees.osu.edu/ChapIndex/index.php>), an exclusion of time from the probationary period in no way limits the right of the university to terminate a probationary appointment prior to the time of the mandatory review for promotion and tenure, should circumstances warrant such action.

An exclusion of time results in a revised mandatory review year for promotion and tenure. Faculty members who have had time excluded from the probationary period may undergo P&T review prior to the revised mandatory review year, should the unit faculty judge such a review to be appropriate.

Such action is at the discretion of the unit faculty, not the probationary faculty member.

Should a negative decision result from a P&T review that occurs prior to the revised mandatory review year, this decision will not result in nonrenewal of the probationary appointment. The faculty member still has the option of undergoing P&T review in the revised mandatory review year.

6.0 Extension of probationary period for part-time faculty

Revised: 03/25/05

Edited: 08/01/07

Probationary tenure track faculty whose appointment is less than full-time (but 50% FTE or greater) may request an extension of the probationary period in accordance with Faculty Rule 3335-6-03 (F) (<http://trustees.osu.edu/ChapIndex/index.php>). The extension shall be for an integral number of years based on the principle that the usual probationary period represents full-time service. The maximum permissible extension of a probationary period under this paragraph is one year for a probationary instructor, three years for a probationary assistant professor (including time spent at the rank of instructor) and one year for a probationary associate professor or professor.

OAA policy does not approve extensions in advance. During the second year of a faculty member's reduced appointment, OAA will approve an extension of one year, for example, in recognition of two years of service at 50% FTE. At the appropriate time the TIU head forwards a letter requesting approval of the extension to the dean and then OAA.

The TIU head's letter to the dean should state all relevant information (the amount of the reduction, when it will take effect, and whether it is permanent or temporary). For probationary tenure track faculty, the letter should include a projected revision of the review schedule and projected year in which the adjusted "fourth-year" review would fall, if the fourth-year review has not already occurred.

For additional information on reduction of FTE, see Book 1, Chapter 5, Section 7.3.

7.0 Extra compensation

Revised: 08/01/07

Edited: 08/01/07

See Book 1, Chapter 6, Section 2.0 – 2.3.

8.0 Paid external consulting

Revised: 08/01/07

Edited: 08/01/07

See Book 1, Chapter 6, Sections 4.0 – 4.2 and the Senate Policy on Paid External Consulting, Book 3.

Chapter 2 Instruction

The Rules of the University Faculty (<http://trustees.osu.edu/ChapIndex/index.php>) contain policy on instruction that applies to all faculty members at the university.

1.0 University required courses

Revised: 08/01/07

Edited: 08/01/07

1.1 Precedence of scheduled hours

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-11 (<http://trustees.osu.edu/ChapIndex/index.php>)

1.2 Class rosters

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-13 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.0 Examination and marks

Revised: 08/01/07

Edited: 08/01/07

2.1 Course examinations

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-19 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.2 Schedules for final examinations

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-20 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.3 Marks

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-21 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.4 Report of marks

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-22 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.5 Alteration of marks

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-23 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.6 Retention or disposal of materials submitted to meet course requirements

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-23.1 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.7 Credit hours

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-24 (<http://trustees.osu.edu/ChapIndex/index.php>)

2.8 Admission to courses as an auditor

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-29 (<http://trustees.osu.edu/ChapIndex/index.php>)

3.0 Absences

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-9-21 (<http://trustees.osu.edu/ChapIndex/index.php>)

3.1 Group absences

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-9-22 (<http://trustees.osu.edu/ChapIndex/index.php>)

Chapter 3 Annual Review

1.0 Annual review of regular faculty

Revised: 07/26/04

Edited: 08/01/07

1.1 Description of review process in APT document

Revised: 07/26/04

Edited: 08/01/07

TIU APT documents must establish procedures, required documentation, and timing of submission of documentation for annual and fourth-year reviews of RTT faculty and annual and contract renewal reviews of RCT and regular research track (RRT) faculty.

If the head of a large TIU with Sections or divisions wishes to delegate to section or division heads the handling of reviews, the arrangement must be described in the TIU's APT document. The TIU head who delegates responsibility for reviews to division or Section heads is accountable for the process and should maintain regular oversight of the reviews.

1.2 Purpose

Revised: 07/26/04

Edited: 08/01/07

An annual written performance review that looks both backward and forward is mandated for every regular faculty member. The purposes of such a review are as follows:

- Assist faculty in improving professional productivity through candid and constructive feedback and through the development of professional development plans that meet the joint needs of the unit and the faculty member.
- Establish the goals against which faculty performance will be assessed in the foreseeable future.
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

In addition annual reviews of probationary faculty serve to monitor progress toward tenure and determine whether the probationary appointment will be continued for another year or terminated, subject to the

relevant standards of notice per Faculty Rule 3335-6-08 (<http://trustees.osu.edu/ChapIndex/index.php>). In the case of RTT faculty, annual reviews (including Fourth-year Review) serve to monitor progress toward tenure.

1.3 Recommended procedures

Revised: 07/26/04

Edited: 08/01/07

OAA recommends that tenured and nonprobationary RCT and RRT faculty be reviewed annually by the TIU head and that professors periodically review associate professors within each track. OAA further recommends that tenured professors be included in the periodic review of associate professors within clinical and research tracks.

The annual review process for regional campus tenured faculty should be similar or identical to the review process for regional campus probationary faculty. The Columbus campus TIU may establish review procedures for its tenured regional campus faculty.

OAA recommends that the annual review process for probationary faculty be similar or identical to the Fourth-year Review.

OAA recommends that the annual review processes for probationary RCT and RRT faculty be similar or identical to RTT faculty.

1.4 Required procedures

Revised: 07/26/04

Edited: 08/01/07

TIUs must maintain a current CV on all regular faculty members. These CVs should be in an accessible location where any faculty member may review them.

All faculty members must submit an annually updated documentation of performance and accomplishments to the TIU head (and regional campus dean, if applicable).

Documentation for probationary faculty must follow the format of the P&T dossier outline established by OAA in Book 3.

The review for regional campus probationary faculty must be conducted first at the regional campus, with emphasis on teaching and service, and then in the TIU at the Columbus campus, with emphasis on research and scholarly and creative activity.

Face-to-face meetings must take place between tenured faculty and the TIU head if either party requests such a meeting. Likewise, face-to-face meetings must take place between nonprobationary RCT and RRT faculty and the TIU head if either party requests such a meeting.

A face-to-face meeting with TIU head is required for all probationary faculty members.

1.5 Culminating letter or other written report

Revised: 07/26/04

Edited: 08/01/07

TIU heads must include a narrative evaluation addressing the purposes of the annual review described above in the culminating letter or report. A perfunctory checklist lacking narrative, evaluative content does not meet this requirement.

The report must also inform the faculty member of the right to review his/her primary personnel file and to submit for inclusion in the file a written comment on any material contained therein.

Reports to a probationary faculty member must also include a statement informing the faculty member of the review outcome.

2.0 Annual review of probationary faculty (except Fourth-year Review)

Revised: 07/26/04

Edited: 08/01/07

Positive decisions by the TIU head are final for colleges with or without units and regional campuses.

Unit heads must forward a copy of the reappointment letter to their college dean. In the case of regional campus faculty the regional campus dean/director must also receive a copy of the reappointment letter.

Deans of colleges without units must forward a copy of the reappointment letter to OAA.

2.1 Fourth-year Review of probationary faculty

Revised: 07/26/04

Edited: 08/01/07

2.1.1 Timing

Revised: 07/26/04

Edited: 08/01/07

The Fourth-year Review takes place for most probationary faculty in the actual fourth year of service as an assistant professor at Ohio State. There is no such thing as an "early" Fourth-year Review.

A TIU may not designate a review conducted in any year other than the actual fourth year as a "Fourth-year Review," except in the circumstances stated below:

- Formally approved prior service credit (see Book 1, Chapter 5, Section 2.1.2): The years of prior service credit are added to the years of Ohio State service to determine when the Fourth-year Review will occur.
- Exclusion of time from the probationary period under Faculty Rule 3335-6-03 (<http://trustees.osu.edu/ChapIndex/index.php>) prior to the actual fourth year of service (see Section 5.0 of this chapter): The Fourth-year Review is postponed by each year excluded from the tenure clock. If the Fourth-year Review has already taken place when an exclusion of time is granted, it is not repeated.
- Extended probationary period (up to 9 years depending on FTE) due to a part-time appointment: The Fourth-year Review may be postponed beyond the actual fourth year of service, but must occur at least two calendar years prior to the mandatory P&T review year.

2.1.2 Approval levels

Revised: 07/26/04

Edited: 08/01/07

Reappointment after the Fourth-year Review in colleges without units requires approval by both the dean and OAA, which makes the final decision on reappointment.

Submit one copy of the dossier to OAA for university-level review.

The procedures are identical to sixth year (mandatory) tenure review with one exception, external evaluations are optional.

Reappointment of Columbus campus faculty after the Fourth-year Review in colleges in colleges with units requires approval by the TIU head and the college dean, who makes the final decision on reappointment.

Do not submit positive Fourth-year Review results or dossiers to OAA.

Procedures identical to sixth-year (mandatory) tenure review with two exceptions. External evaluations are optional and review by the college P&T committee is optional when the TIU head and the dean agree on a positive decision to reappoint. Unless the college's APT document specifically states that the college committee is not involved when the TIU and dean agree to reappoint, the college may choose to send or not to send such cases to its committee. Colleges should treat all such cases consistently.

Reappointment of regional campus faculty after the Fourth-year Review in colleges in colleges with units requires approval by the TIU head, regional campus dean/director, and the college dean, who makes the final decision on reappointment.

2.1.3 Comments process

Revised: 07/26/04

Edited: 08/01/07

The comments process for the Fourth-year Review is identical to that for the sixth-year (mandatory) tenure review. Promptly after a decision is reached on the first and the second level of review respectively, the candidate is informed in writing that the following material is available and the comments process begins. The 10-day deadline, one round at each level, must be observed.

The fourth-year review differs at the second level from the comments process of the sixth-year (mandatory) tenure review in that the material on which the candidate is asked to comment is the college committee's letter, if the committee reviewed the case, and the dean's letter to the TIU head reporting the college level outcome, since the dean does not write to the provost.

2.1.4 Nonrenewal

Revised: 07/26/04

Edited: 08/01/07

In the case of a TIU head recommending nonrenewal of a probationary appointment, subject to the relevant standards of notice per Faculty Rule 3335-6-08 (<http://trustees.osu.edu/ChapIndex/index.php>), the review must follow Fourth-year Review procedures.

In colleges without units, a recommendation to terminate a probationary member's appointment requires the approval of both the college and OAA, which makes the final decision.

In colleges with units, a recommendation to terminate a probationary faculty member's appointment requires the approval of both the TIU and the college, who makes the final decision.

In the case of a regional campus faculty member, a recommendation to terminate a probationary faculty member's appointment requires the approval of the regional campus dean, the TIU head, and the college dean, who makes the final decision.

The Nonrenewal of Probationary Appointment or Denial of Tenure form must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by June 1 of the year in which the nonrenewal decision occurs.

Nonrenewal usually precludes rehiring the individual (see Book 1, Chapter 3, Section 8.0).

2.1.5 Withdrawing from or declining a review

Revised: 07/26/04

Edited: 08/01/07

Faculty members who withdraw from or decline to participate in a mandatory review in any probationary year are subject to the relevant standards of notice per Faculty Rule 3335-6-08 (<http://trustees.osu.edu/ChapIndex/index.php>). The decision to terminate a review must be accompanied by a letter of resignation from the faculty member to the TIU head (or regional campus dean) stating the following:

- last day of employment (no later than June 30 of the year following the review year)
- acknowledgement that the decision to terminate (withdraw from or decline participation in) the review is irrevocable

This action requires that the Nonrenewal of Probationary Appointment or Denial of Tenure form be submitted to OAA, along with a copy of the faculty member's letter, by June 1 of the year in which the decision to terminate the review occurs.

OAA must keep accurate records of such actions since this decision, like nonrenewal, usually precludes rehiring the individual (see Book 1, Chapter 3, Section 8.0).

2.1.6 Submission deadlines

Revised: 07/26/04

Edited: 08/01/07

All Fourth-year Reviews and any annual reviews with a nonrenewal recommendation by the deans of colleges without units or the director of libraries are due to OAA in winter quarter on the same date when P&T cases are due (see Book 3).

The deans of colleges with units may establish due dates for receipt of these reviews in the college office.

3.0 Regular clinical track and regular research track faculty

Revised: 07/26/04

Edited: 08/01/07

The initial contract of all RCT and all RRT faculty is probationary regardless of academic rank at hire. The duration of the initial contract defines the length of the probationary period.

RCT faculty may have three- to five-year contracts.

RRT faculty may have one- to five-year contracts.

The full text of terms and conditions of RCT faculty appointments is stated in [Faculty Rule 3335-7](http://trustees.osu.edu/ChapIndex/index.php) (<http://trustees.osu.edu/ChapIndex/index.php>).

3.1 Annual review of probationary faculty

Revised: 07/26/04

Edited: 08/01/07

3.1.1 Approvals

Revised: 07/26/04

Edited: 08/01/07

Positive decisions by the TIU head are final for both colleges with or without units.

Unit heads must forward a copy of the reappointment letter to their college dean; however, positive reappointment letters to another probationary year are not copied to OAA, regardless of whether they originate in a college with or without units.

3.1.2 Nonrenewals

Revised: 07/26/04

Edited: 08/01/07

In colleges both with and without departments, a decision by the dean not to renew a RCT or a RRT faculty member's contract is final.

The Nonrenewal of Probationary Appointment or Denial of Tenure form must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by June 1 of the year in which the nonrenewal decision occurs.

3.1.3 Contract renewal

Revised: 07/26/04

Edited: 08/01/07

There is no presumption of reappointment at the end of a given contract period. No later than the beginning of a faculty member's penultimate contract year, a determination should be made as to whether the position (regardless of who fills it) will continue.

If the position will continue, the faculty member must undergo formal review in the penultimate contract year so that the unit may determine whether it is appropriate to renew that individual's contract to fill that position.

The review will follow the same procedures as a review for promotion in rank. The information below pertains solely to reporting review outcomes.

If the position will not continue, the faculty member should be so informed, subject to the relevant standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu/ChapIndex/index.php>). In this situation, a review is not appropriate.

3.1.4 Approvals

Revised: 07/26/04

Edited: 08/01/07

In colleges both with and without departments, a decision by the dean to reappoint RCT and RRT faculty members to a new contract term is final. Positive decisions to reappoint RCT and RRT Faculty to a new contract term will be approved by OAA without review, and forwarded to the Board of Trustees for final approval. Upon approval by the BOT, the RCT or RRT faculty member is no longer probationary.

For each positive decision to reappoint to a new contract term, submit to OAA an original signed "cover sheet" (Record of Review for Promotion in Academic Rank/Tenure/Reappointment). Submit the form only. Do not submit CV, dossier, or a copy of the reappointment letter.

3.1.5 Submission deadlines

Revised: 07/26/04

Edited: 08/01/07

The dean may establish due dates for receipt of these reviews in the college office.

Chapter 4 Appeals

1.0 Promotion and tenure appeals

Revised: 07/26/04

Edited: 08/01/07

Only the candidate may appeal a negative tenure or promotion decision.

Unsolicited commentary by colleagues, students, or others on behalf of a candidate will not be considered at any time during the P&T review process and will not influence the course of an appeal.

TIU heads, deans, and the provost will normally not discuss a P&T decision with individuals not party to the decision-making process.

Members of faculty review bodies and administrators are required to exercise professional judgment in considering the evidence material to making a fair determination in a promotion or tenure case. Differences in or disagreements with professional judgments do not provide a valid basis for appealing a negative P&T decision.

Favorable annual reviews are not a basis for appealing a negative P&T decision. A favorable annual review during the probationary period serves as the basis for a positive annual reappointment decision but does not imply a commitment to grant tenure. The review for tenure entails a much weightier decision than the annual review and entails assessment of both cumulative performance and promise for the future. Performance that is adequate for annual reappointment may not be adequate for the granting of tenure (see Faculty Rule 3335-6-05 (<http://trustees.osu.edu/ChapIndex/index.php>)).

1.1 Allegation of improper evaluation

Revised: 07/26/04

Edited: 08/01/07

The primary basis for an appeal of a negative P&T decision is improper evaluation. Faculty members who believe they have been evaluated improperly may appeal a negative decision. Improper evaluation includes violations of written procedures that could reasonably have affected the outcome of a review and failure to consider evidence material to a fair determination.

A formal appeal cannot begin until the provost has rendered a decision. However, a candidate may occasionally raise issues about the review process during the review, through the comments process provided for in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/ChapIndex/index.php>). When appropriate, these issues should be addressed at the time they are raised. The chair may wish to consult with the dean and/or OAA regarding the best ways to address a particular issue.

An appeal alleging improper evaluation is reviewed in accord with procedures described in Faculty Rule 3335-5-05 (<http://trustees.osu.edu/ChapIndex/index.php>).

Within 30 days of the date of the letter from either the TIU head or dean informing the faculty member of the provost's negative decision, the faculty member is required to send a written complaint describing the alleged improper evaluation to the chair of the Committee on Academic Freedom and Responsibilities (CAFR), copied to the provost, and should follow up with a phone conversation with the chair of CAFR regarding the complaint and next steps.

The faculty member should promptly inform the chair of CAFR and OAA if s/he decides not to pursue the appeal.

1.2 Allegation of discrimination

Revised: 07/26/04

Edited: 08/01/07

An appeal may also be based on the allegation of discrimination. Such an appeal would focus on discrimination based on protected status (see OHR Policy 1.10). A complaint alleging discrimination should be presented in writing to the Director of Consulting Services in OHR, with a copy to the provost, within 30 days of the date of the letter from either the TIU head or dean informing the faculty member of the provost's negative decision.

1.3 Seventh-year Reviews

Revised: 07/26/04

Edited: 08/01/07

In rare instances, a TIU may petition the dean to conduct a Seventh-year Review for an assistant professor who has been denied promotion and tenure (see Faculty Rule 3335-6-05(B) (<http://trustees.osu.edu/ChapIndex/index.php>)).

2.0 Faculty salary equity appeals process

Revised: 03/25/04

Edited: 08/01/07

Also see Section 3.8.

Given the importance of salary to individuals, the fact that funds for salaries are limited, and the fact that in allocating those funds, decision makers must make choices that benefit some more than others, some degree of salary dissatisfaction is unavoidable. Eliminating that dissatisfaction is impossible. However, varying salary levels among individuals should be consistent with differences in the factors that appropriately affect salary.

This appeals process is intended to address only salary appeals that are based on the appellant's belief that his/her salary is lower than comparable faculty within his/her academic unit and that the salary disparity cannot be explained by factors that appropriately affect salary levels.

Subject to OAA approval, department, school, college, and regional campus patterns of administration may contain additional policies pertinent to this process.

2.1 Eligibility

Revised: 03/25/04

Edited: 08/01/07

Faculty who meet all of the following criteria may use this process if:

- they are regular faculty members
- they do not receive part of their OSU compensation from a health care practice plan
- their salary is 5% or more below the average salary of all other faculty of the same rank in their academic unit or in a recognized discipline or subdiscipline with a distinct salary market within their academic unit (TIU for Columbus faculty; regional campus for regional campus faculty). There must be at least two such faculty, in addition to the appellant, for these procedures to apply. Further, these faculty members must allege that the salary disparity cannot be accounted for by:
 - differences in years of service and years in rank
 - productivity in teaching, research, and service
 - centrality of the person's work to the academic unit
 - past/present administrative duties
 - market factors
 - other factors set forth as legitimate bases for salary determination in the faculty member's academic unit APT document or POA or otherwise consistently communicated and applied in hiring and merit salary increase decisions
 - three full academic years have passed since a final decision was rendered on a faculty member's previous appeal under this process. For example, if a faculty member uses this process during the academic year 2007-08 and a final decision is rendered in that time period, s/he may not use the process again until the 2012-13 academic year.

This process is not intended to address all bases of dissatisfaction with salary. Faculty with salary concerns who are not eligible for review under this process may seek information about and resolution to their concerns through discussion with the head of their academic unit.

2.2 Parties to the appeal process

Revised: 03/25/04

Edited: 08/01/07

2.2.1 Academic unit head

Revised: 03/25/04

Edited: 08/01/07

For purposes of this process, the academic unit head is the head of the TIU, be that a department, school, or college except in the case of regional campus faculty. The academic unit head for regional campus faculty is the regional campus dean-director.

2.2.2 Dean/dean-director

Revised: 03/25/04

Edited: 08/01/07

The dean of a college, the director of University Libraries, or the dean-director of a regional campus.

2.2.3 College faculty salary appeals committee

Revised: 08/01/07

Edited: 08/01/07

There will be a faculty salary appeals committee at the college level (whether or not the college is a TIU). The committee may exist solely for the purpose of reviewing salary appeals under this process or may be an existing committee (the P&T committee or college investigation committee).

Because a two-level review process (department and college) is not possible for the nine colleges (including the University Libraries and the John Glenn School of Public Policy) that serve as TIUs, and the academic unit head and dean are the same person in these units, a slight modification of the college faculty salary appeals committee is possible. In these units, the faculty member may select, if s/he wishes, an additional faculty member to serve on the college committee. This faculty member must be a full-time tenured faculty member from within the college of the appellant and may not be a member of the comparison group.

2.2.4 Regional campus faculty salary appeals committee

Revised: 03/25/04

Edited: 08/01/07

There will be a faculty salary appeals committee for the regional campuses which shall consist of one faculty member from each regional campus appointed by the dean of that campus. Terms of members shall be four years and initially will be staggered (one year for Lima, two for Mansfield, three for Marion, and four for Newark) to assure continuity of membership. The chair of the committee shall rotate among the campuses in the order of Lima, Mansfield, Marion, and Newark. Reappointment to the committee is possible.

2.3 Time frame for appeal

Revised: 03/25/04

Edited: 08/01/07

Appeals under these procedures must be initiated no later than October 31 in order to facilitate completion of the review before salary recommendations are made for the next academic year. Every reasonable effort must be made by the parties to the review process to complete consideration of a salary appeal by mid-April of the academic year.

In the event it is not possible to conclude review of an appeal in this time frame, the administrator who makes salary recommendations for the appellant will carry out that role as usual. It will usually be necessary to update appeal materials following the annual raise process since both academic records and salaries included in the original appeal materials will no longer be current.

2.4 College and regional campus salary appeals policies

Revised: 03/25/04

Edited: 08/01/07

A college (whether it has units or not) or regional campus POA may establish college-wide or regional campus policies for the documentation of salary appeals under this process if the college or regional campus wishes to have such policies. College and regional campus salary appeals policies must be approved by OAA before they are implemented. Colleges and regional campuses may amend these policies as needed subject to approval of OAA.

2.5 Department salary appeals process

Revised: 03/25/04

Edited: 08/01/07

Except where college-wide standards for documentation of appeals are established, individual department POAs may establish written policies for the documentation of salary appeals under these procedures if departments wish to have such policies. These policies must be approved by the college office and OAA before they can be implemented. Units may amend these policies as needed subject to the required approvals.

2.6 Appellant responsibilities

Revised: 03/25/04

Edited: 08/01/07

The faculty member using this process bears full responsibility for documenting the appeal.

Documentation must be consistent with any department and college or regional campus written requirements as well as with the eligibility requirements set forth in Section 2.1 of this chapter. Unless department, college, or regional campus POAs specify otherwise, this documentation must consist of a detailed analysis of the appellant's academic record and salary relative to faculty in the comparison group taking into account years of service, years in rank, and other factors that affect salary as noted in Section 2.1 of this chapter. CVs of comparators and salary information are public records and can be requested from the academic unit office.

Unless unit, college, or regional campus POAs specify otherwise, the comparison group must include all other faculty of the same rank in the academic unit (excluding the academic unit head). When an academic unit contains distinct and recognized disciplines or subdisciplines which have different salary markets, the comparison group will be limited to all other faculty of the same rank in appellant's discipline or subdiscipline within the academic unit (excluding the academic unit head).

As noted in Section 2.1 of this chapter, at least two comparators that meet these requirements must exist for this process to be applicable.

The faculty member may, but is not required to, initially present his/her documentation to the chair of the college or regional campus faculty salary appeals committee for informal advice as to whether the appeal, as set forth, appears to meet the eligibility and documentation requirements set forth in this document and in any written academic unit and college salary appeals documents.

The faculty member may then determine whether to proceed with a salary appeal. The salary appeals committee chair shall not express an opinion as to whether the appeal has merit since that judgment cannot be made based only on the appellant's perspective.

The faculty member may appeal to the college or regional campus faculty salary appeals committee if the academic unit head dismisses the appeal or proposes a resolution that is judged to be unsatisfactory by the faculty member.

2.7 Academic head responsibilities

Revised: 03/25/04

Edited: 08/01/07

On receipt of documentation alleging salary inequity from a faculty member, the academic unit head shall review the documentation. The academic unit head may request additional information from the faculty member and/or meet with the faculty member as appropriate.

The academic unit head may dismiss the appeal or propose a salary adjustment (see Section 2.10 of this chapter for required approvals for salary adjustments). Salary adjustments should not be communicated to affected faculty until the required approvals have been obtained.

The academic unit head will respond in writing to the appeal. The response may provide additional analysis, as deemed necessary, and must provide a rationale for the conclusions. Final written notice of the disposition of the appeal should either be hand delivered to the appellant or sent by certified mail.

If the academic unit is a TIU within a college, forward to the college office a copy of all written material generated by the appeal for record keeping purposes.

2.8 College or regional campus faculty salary appeals committee responsibilities

Revised: 03/25/04

Edited: 08/01/07

On receipt of an appeal from a faculty member who is dissatisfied with the academic unit head's disposition of that appeal the college or regional campus faculty salary review committee will review the documentation submitted by the faculty member and the written conclusions of the academic unit head in light of the unit's salary criteria.

While the committee may, on occasion, request additional information from either the academic unit head or appellant, and/or meet with parties to the complaint, its review should be based primarily on the appellant's documentation and the academic unit head's response to that documentation. The committee does not develop new documentation. An inadequately documented appeal should be dismissed.

The college or regional campus faculty salary appeals committee may make a recommendation to the dean or dean-director regarding:

- whether a salary adjustment for the appellant is or is not warranted
- an explanation of its conclusions
- if an adjustment is warranted, its approximate amount

The committee's recommendation to the dean or dean-director is advisory.

2.9 Dean or dean/director responsibilities

Revised: 03/25/04

Edited: 08/01/07

On receipt of a recommendation from the college or regional campus faculty committee the dean or dean/director will accept, amend, or reject the faculty committee's recommendation. If the dean/dean-director determines that a salary adjustment shall be made, the dean/dean-director shall determine the amount and the timing of that increase (see Section 2.10 of this chapter).

The dean or dean/director will communicate the final decision to the appellant and to the appellant's academic unit head if that person is different from the dean/dean-director. The dean/dean-director will also communicate to the faculty salary appeals committee the final action taken on a complaint and, if the action differs from the faculty committee's recommendation, the reason for that action.

The dean or dean/director will maintain in the college or regional campus office a record of all appeals, including those dismissed by the academic unit head and not appealed to the college or regional campus faculty committee. Each record should include all written materials developed for and generated by the appeal.

2.10 Salary equity adjustments proposed under these procedures

Revised: 03/25/04

Edited: 08/01/07

Salary equity adjustments proposed as a result of using these procedures should be funded from annual raise monies available during the annual raise cycle to the extent possible. A proposal to provide an equity salary increase from other academic unit funds, regardless of the proposed timing of the increase, requires the approval of the dean (in colleges with units) and OAA.

2.11 Decisions that cannot be appealed

Revised: 03/25/04

Edited: 08/01/07

A decision is final under these procedures and cannot be appealed when the academic unit head's written conclusions regarding the matter are not appealed to the college or regional campus faculty salary appeals committee within 30 days of the date of the academic unit head's letter to the appellant reporting conclusions; when the dean/dean-director accepts a recommendation of the college or regional campus faculty salary committee to dismiss an appeal; or when the dean/dean-director accepts a recommendation of the college or regional campus faculty salary committee to provide a salary adjustment and offers an adjustment that is at least 75% of the amount recommended by the committee.

2.12 Decisions that can be appealed

Revised: 03/25/04

Edited: 08/01/07

If the dean or dean-director dismisses an appeal that was not dismissed by the faculty committee, or proposes a salary adjustment that is less than 75% of the amount recommended by the faculty committee, the appellant may appeal to the provost. The provost or designee will review the matter and render a final decision.

3.0 Complaints against regular tenure track, regular clinical, regular research, or auxiliary faculty members

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-5-04 (<http://trustees.osu.edu/ChapIndex/index.php>) establishes the procedures for formal complaints against RTT, RCT, RRT, and auxiliary faculty members. This rule also applies to administrators who hold faculty appointments.

Chapter 5 Conflicts of Commitment and Interest

1.0 Conflict of Commitment Policy

Revised: 08/01/07

Edited: 08/01/07

The Senate Conflict of Commitment Policy, approved by the Board of Trustees in August 2005 can be found in Book 4. This policy applies to all faculty members at Ohio State.

2.0 Financial Conflict of Interest Policy for Faculty

Revised: 08/01/07

Edited: 08/01/07

The Senate Financial Conflict of Interest Policy, approved by the Board of Trustees in July 1998 and revised by Senate and Board action in 2007 can be found in Book 4. This policy applies to all faculty members at Ohio State.

2.1 Implementation procedures

Revised: 02/01/99

Edited: 08/01/07

The executive vice president and provost (provost) will be responsible for administering the Financial Conflict of Interest Policy. The provost may designate a vice provost to perform his/her responsibilities under the policy.

The provost will appoint a conflict of interest administrator in consultation with the senior vice president for research. The conflict of interest administrator will provide staff support for implementation of the policy. With the approval of the provost, and in consultation with the Conflicts of Interest Policy Advisory Committee (COIAC), the conflict of interest administrator will design forms and procedures for the reporting of potential conflicts of interest. The administrator will also assist faculty and other university employees in identifying, managing or eliminating conflicts of interest and will periodically inform the university community about the policy and other issues relating to conflicts of interest.

The general counsel will designate a conflicts of interest legal advisor who will assist the provost, the COIAC, and the conflict of interest administrator with respect to the requirements of state and federal law and university rules. Counsel represents the university and not the individual faculty member. Joint representation can be provided where warranted if there is no conflict of interest or the conflict is waived in writing by both parties after full disclosure. Further, faculty members have the right to have their own (private) attorney.

The senior vice president for research will be responsible for providing reports to outside funding agencies as may be required by federal regulations or the terms of sponsored research agreements.

2.1.1 Reporting requirements

Revised: 11/08/07

Edited: 11/08/07

Conflict of Interest Screening/Disclosure Forms (found at the Office of Research Compliance website, <http://orc.osu.edu/coi/forms.cfm>) must be filed by the following persons, (hereinafter referred to as the "filing parties"):

- all regular faculty engaged in teaching and/or research activities
- all part-time, clinical, research, auxiliary or emeritus faculty who have a significant decision-making role in the design, conduct, or reporting of research
- staff members and students who have a significant decision-making role in the design, conduct, or reporting of research
- principal administrative officials designated by the senior vice president for research as having a significant role in supervision of research
- the financial interests of spouses, domestic partners, and minor dependents are also considered those of the faculty members, staff, or students themselves, and must be reported

Financial conflict of interest disclosures must be filed annually (the electronic application is available at <https://rf.osu.edu/secure/e-coi>). Updates must be made to the disclosure if the filing party engages in consulting activities or business or financial transactions that were previously unreported or if significant changes occur in the circumstances of a previously reported transaction or activity.

Faculty financial conflict of interest disclosures must be reviewed by their department chair or with their regional campus dean. For regional campus faculty, the dean fulfills the responsibilities of the department chair noted elsewhere in these procedures.

Staff and student financial conflict of interest disclosures must be reviewed by the chair of their department or appropriate supervisory official (in the case where the filing party is not a member of an academic department), who shall perform the duties of a department chair under these procedures. Disclosures filed electronically will be automatically routed to the appropriate signatory.

2.1.1.1 Definitions

Revised: 11/08/07

Edited: 11/08/07

Conflict of Interest Advisory Committee (COIAC): standing faculty committee created under the Faculty Conflict of Interest Policy.

Externally funded research: research funded by a public or private entity separate from the university through a gift, grant, award, contract, cooperative agreement or similar arrangement and administered through the university or OSURF.

Fiduciary role: a legal or ethical obligation on the part of an individual to act in the best interests (the financial success) of another, such as membership on a board of directors or a management role in a company or partnership.

Human subjects research: all research meeting the definition of "research" performed with "human subjects" as these terms are defined in the Federal Common Rule (45 CFR Part 46 and 21 CFR Part 56), regardless of the source of research funding or whether the research is otherwise subject to federal regulation. See the Office of Responsible Research Practices website, <http://orrr.osu.edu/>, for specific policies and procedures. In the event that the common rule definitions of "human subject" or "research" are modified through rulemaking, any such revisions will apply.

Research or conducting research: any organized program of scientific inquiry, including designing research, directing or serving as an investigator performing laboratory experiments, having a role in soliciting consent from research subjects or making decisions related to eligibility of patients to participate in research, analyzing or reporting research data, or submitting manuscripts or abstracts concerning the research for publication. Specific examples include projects for which outside support is requested and projects for which approval of an IRB is required. The determination of what constitutes research and what constitutes the conduct of research will be made by COIAC.

Significant financial interests:

- fees, honoraria, gifts, other payments, or “in-kind” compensation from a research sponsor or financially interested company, whether for consulting, lecturing, or any other purpose, that in aggregate exceeds \$10,000 in a given twelve-month period
- an equity interest of any amount, including stock, stock options, warrants, or other ownership interest in a non-publicly traded sponsor or financially interested company
- an equity interest, including stock, stock options, warrants, or other ownership interests in a publicly traded sponsor or financially interested company that exceeds \$10,000 in value as determined through reference to current prices or 5% of the company’s stock or other ownership interests; (Should the value of the equity interest increase to more than \$10,000 during the conduct of the research project, the individual must notify the conflict of interest administrator.) this does not apply to diversified mutual funds in which the shareholder has no control over the equities held by the fund
- royalty income or the right to receive future royalties from commercialization of research results, including entitlement to any “milestone” payments conditioned upon specified research-related dates or events, whether such payments are received from a research sponsor, a financially interested company, the university, or via technologies licensed by the university (Institutional intellectual property that results in royalty interests arising from post-marketing sales of approved products are an example of a financial interest that promote translational research and may be amendable to successful management. To encourage the development of new products, the Bayh-Dole Act obligates institutions to attempt to commercialize inventions resulting from federally funded research and to distribute a portion of the royalty income from marketed products to inventors. This public policy objective of the act and the eventual recognition of value of the innovation to the public may, in the judgment of the COIAC, constitute compelling justification to permit a potential future financial interest concurrent with human subject research, subject to appropriate and extensive management conditions. The foregoing may not be interpreted so as to eliminate reporting obligations, limit COIAC’s ability to restrict or prohibit these arrangements, or determine what constitutes a compelling justification.)
- any non-royalty payments or entitlements to payments in connection with the research that are not directly related to the reasonable costs of the research (as specified in the applicable research agreement, including any bonus or milestone payments to the investigators in excess of reasonable costs incurred, whether such payments are received from a financially interested company or from the university
- service as an officer, director, or in any other fiduciary role for a research sponsor or financially interested company, whether or not remuneration is received for such service (A researcher’s time-limited service as an officer or director of a company approved to commercialize university inventions may be treated analogously to royalty interests arising from post-marketing sales of approved products.)
- royalty income and the right to receive future royalties as a result of traditional academic publishing activity, such as the publication of textbooks, are excluded

Sponsor or financially interested company: a commercial entity, or in certain cases, a not-for-profit entity that is sponsoring research to commercialize a product, whose financial interests would reasonably appear to be affected by the conduct or outcome of the research, including commercial companies that directly sponsor research, companies that hold patent rights for discoveries, drugs, or devices being studied in research protocols, or companies that provide financial or “in-kind” support for research projects. A financially interested company may also include a company that competes with the sponsor of the research or the manufacturer of the investigational product, if the researcher knows that the financial interests of such a company would reasonably appear to be affected by the research. This term also includes any entity acting as the agent of a sponsor or financially interested company such as a contract research organization.

2.1.2 Review of conflicts of interest

Revised: 11/08/07

Edited: 11/08/07

Chairs will review conflict of interest disclosures within 15 days of receipt. Disclosures reviewed through the electronic application will automatically be forwarded to the conflict of interest administrator. If the conflict of interest administrator determines that a transaction or activity presents a potential conflict of interest, s/he will forward to COIAC for review. Disclosures and documentation of plans to minimize or manage possible conflicts of interest will be maintained in the office of the conflict of interest administrator.

COIAC reviews information related to all significant personal financial interests related to faculty, staff, and student research activities. In completing its review, COIAC will consider the potential impact of the financial interests on the following:

- integrity of the research
- risks to the rights and safety of human research subjects
- risks to the rights and obligations of students and trainees participating in research
- the availability of research results to the scientific community for use in the public interest
- appearance of a conflict of interest
- perception to the university community (In agreements and contracts related to the arrangements under review by COIAC, the university will require terms that ensure the freedom of timely academic publication, uphold the rights and responsibilities of students and trainees, and ensure appropriate reporting of inventions and assignment of intellectual property rights.)

2.1.3 Determination and management of conflicts of interest

Revised: 11/08/07

Edited: 11/08/07

Upon completing its review, COIAC will recommend that the personal financial interests of the individual in a research sponsor or other financially interested company are either eliminated or permitted, subject to the development of a formal conflict management plan. COIAC will render a final decision and will communicate that decision, along with the recommended management plan to the involved individual in writing.

2.1.3.1 Conflict of interest management plans

Revised: 11/08/07

Edited: 11/08/07

Conflict of interest management plans may include one or more of the following requirements:

- **Disclosure**: public disclosure of potential financial conflicts of interest is required in all management plans and includes the following:
 - public disclosure of the financial interests of the investigator and of the university, if applicable, in all relevant publications, presentations (whether or not academic), including presentations at the level of the individual's primary department or higher
 - disclosure to the appropriate co-investigators, members of the laboratory or research group, and students or trainees
 - disclosure of an investigator's financial interest on human subject consent forms
- **Restriction on equity**: requirements that options, warrants, and similar instruments not be exercised without prior permission of COIAC (Researchers should be aware that separate Securities and Exchange Commission and other state and federal regulations may apply to their ownership of such equity. Obtaining the necessary information and complying with such regulations is the responsibility of the individual researcher.)
- **Limiting the role of the investigator with a financial interest**: requiring that the role of the investigator with a significant financial interest be limited in some way; in research involving the use of human or animal subjects, investigators are generally not permitted to:
 - serve as principal investigator
 - analyze data
 - determine whether potential subjects are eligible for enrollment
 - solicit consent
 - determine whether an adverse event report is required
- **Oversight**: appointment of a disinterested individual or group to monitor the relevant research activity; an oversight committee might be charged with
 - reviewing abstracts and manuscripts before they are submitted for publication to ensure that the research is conducted and reported according to scientific and ethical standards and that conflict of interest management measures are observed
 - meeting at specific intervals to review protocols, subject accrual, subject safety and complications, review the resulting project data before publication, and other issues as appropriate

Oversight committees are required in all management plans involving human subject research where the principal investigator has a significant financial interest.
- **Divestiture**: allow arrangements to go forward contingent upon sale or disposal of specified financial interests to eliminate or reduce the financial conflict of interest by a certain date
- **Severance of relationships that heighten or create actual or potential conflicts**: relinquishing a seat on a board of directors or terminating a consulting arrangement with an outside entity in order to reduce the financial or fiduciary conflict of interest

COAIC may recommend other conditions or restrictions on the proposed arrangements if, in its view, such conditions will contribute to the elimination, reduction, or management of the conflict of interest.

For conflict of interest management plans involving human subject research, COIAC will make a recommendation to the IRB.

2.1.4 Review and management of conflicts of interest in human subject research

Revised: 11/08/07

Edited: 11/08/07

In preparing this section, the university acknowledges the document titled “Preserving Trust, Promoting Progress: Guidelines for Developing and Implementing a Policy Concerning Individual Financial Interests in Human Subjects Research,” issued in December 2001 by the Association of American Medical Colleges.

Financial interests in human subject research require special scrutiny. Such interests may present real or perceived risks to the welfare and rights of human subjects, in addition to presenting risks to research integrity.

The university presumes that faculty, staff, trainees, and students may not participate in greater than minimal risk research projects involving human subjects (as determined by the IRB) while they have a significant financial interest in the research project or in a financially interested company. Limited exceptions may be made in specific cases when, in the judgment of COIAC, individuals holding significant conflicting financial interests provide COIAC with a compelling justification (s/he is the only researcher at the university who possesses the expertise, know-how, or the necessary technical or procedural skills) in writing for being permitted to simultaneously hold the financial interest and participate in the human subjects research project.

2.1.4.1 Review, determination, and management

Revised: 11/08/07

Edited: 11/08/07

COIAC will review reports of all significant financial interests in proposed human subject research projects. Information concerning a faculty, staff, or student’s relationship to the outside sponsor will be communicated in writing to the appropriate IRB, including the proposed management plan. To ensure the primacy of the welfare and rights of the human subjects, the IRB will have the full and final authority for implementing the decision concerning the role of the concerned individual in the human subject research protocol. Accordingly, the IRB will communicate its decision concerning participation in the human subject research protocol to the investigator and will provide a copy of that communication to COIAC.

If the Office of Responsible Research Practices deems a specific research project involving human subjects to be exempt from IRB review, the conflict of interest issues associated with that project will remain subject to COIAC review and COIAC will review the project as if it were “human subject research” for the purposes of this section.

COIAC’s recommendation may involve either prohibition or management.

- **Prohibition:** If, upon reviewing specific information provided by the investigator with the relevant financial interest, COIAC believes that a conflict of interest is incompatible with human subject research, it will recommend to the appropriate IRB that the involved investigator be required to eliminate the relevant financial interest before beginning the project or be barred from participating in the research.
- **Management:** In a limited number of cases involving significant financial interests, if COIAC concludes that the justification provided by the investigator is sufficiently compelling and that the conflict of interest can be managed, it will recommend specific project-related management measures to the appropriate IRB.

In all cases involving human subject research where a research consent form is required and in which an involved investigator has a relevant financial interest of any magnitude, a financial disclosure statement including the name of the financially interested individual and description of the source and nature of the relevant financial interests must be included in the consent form.

Additional project-related management measures may include prohibiting the investigator from one or more of the following:

- serving as principal investigator
- analyzing data
- determining whether potential subjects are eligible for enrollment
- soliciting consent
- determining whether an adverse event report is required

COIAC's recommendation, accompanied by a description of the nature and magnitude of the potential conflict of interest, will be communicated in writing to the appropriate IRB. The IRB, which is responsible for ensuring the ethical acceptability of the research, will evaluate the recommendations of COIAC and decide whether to:

- accept the recommendations
- accept the recommendations with additional management measures prescribed by the IRB
- conclude that the human subject research cannot proceed

COIAC will communicate its determination to the investigator in writing. Upon concluding its evaluation, the IRB will inform COIAC of its determination, but the IRB's decision is final.

2.1.5 Legal obligations

Revised: 11/08/07

Edited: 11/08/07

Investigators should be aware that financial interests in companies may result in personal or institutional obligations under various federal or state laws.

2.1.5.1 Public Health Service (PHS)/National Science Foundation (NSF)

Revised: 11/08/07

Edited: 11/08/07

Individuals who seek research funding from either PHS (including NIH) or NSF must comply with applicable regulations (Human Subjects Protection—45 CFR Part 46) to “ensure that the design, conduct, or reporting of research funded under PHS grants, cooperative agreements, or contracts will not be biased by any conflicting financial interest of those investigators responsible for research.” Under the regulation, investigators are required to disclose to an official designated by the university a listing of significant financial interests (and those by his/her spouse and dependent children) that would reasonably appear to be affected by the research proposed for funding by the PHS (“Objectivity in Research.” NIH. <http://grants.nih.gov/grants/guide/notice-files/not95-179.html>. July 14, 1995). Contact the Office of Research Compliance for a copy of the complete regulations.

2.1.5.2 U.S. Food and Drug Administration (FDA)

Revised: 11/08/07

Edited: 11/08/07

The FDA requires applicants, under various regulations (21 CFR Parts 54, 312, 314, 320, 330, 601, 807, 812, and 860), to submit to FDA a list of clinical investigators who conducted covered clinical studies and to certify the absence of and/or disclose the existence of certain financial arrangements (“Financial Disclosure by Clinical Investigators.” FDA. <http://www.fda.gov/oc/guidance/financialdis.html>. March 20, 2001).

In cases where an individual investigator holds an Investigational New Drug application (IND) for a study drug, or an Investigational Device Exemption (IDE), for an experimental study device, the investigator him/herself may be required to personally comply with the above FDA conflict of interest reporting requirements and should consult the FDA or legal counsel at the Office of Legal Affairs concerning applicable rules and regulations.

2.1.5.3 Securities and Exchange Commission (SEC)

Revised: 11/08/07

Edited: 11/08/07

The SEC enforces regulations concerning equity ownership, including insider trading, which may affect investigators who hold equity in research sponsors. For additional information, investigators should seek advice from their personal legal counsel or the Office of Legal Affairs. It is the obligation of the financially interested individual to ensure that s/he complies with applicable SEC regulations.

2.1.5.4 Other sponsors

Revised: 11/08/07

Edited: 11/08/07

Outside sponsors may also have specific requirements regarding investigators who have personal interests with the sponsor. For more information, contact your sponsored program officer at OSURF.

2.1.6 Appeals

Revised: 11/08/07

Edited: 11/07/07

If a researcher believes that a determination made by COIAC is not appropriate or is based on erroneous information, s/he may request reconsideration by COIAC by submitting a written request to the chair. If, after a second review by COIAC, the investigator still wishes to appeal COIAC's decision, s/he may appear to the executive vice president and provost. The executive vice president and provost's decision is final.

Investigators who believe that the conflict of interest management measures adopted by an IRB are not appropriate or are based on erroneous information must follow applicable IRB procedures for requesting additional review. Decisions made by the IRB are final.

2.1.7 Sanctions for failure to comply

Revised: 11/08/07

Edited: 11/08/07

Failure by faculty to comply with the conflict of interest policy or with COIAC management plans will be subject to review by the executive vice president and provost. If the executive vice president and provost determines that a violation of university rules may have occurred, s/he may file a complaint against the faculty member pursuant to Faculty Rule 3335-5-04. Staff members who fail to comply with the staff policy on work outside the university or with COIAC recommended management plans will be subject to disciplinary actions by the Office of Human Resources.

Chapter 6 Legal Matters

1.0 Ethics Law, Ohio

Revised: 08/01/07

Edited: 08/01/07

The State of Ohio requires all university personnel, including faculty members, to adhere to the Ohio Ethics Law. Additional information can be found on the Office of Legal Affairs (OLA) website, www.legal.osu.edu/olaindex.php and on the Ohio Ethics Commission website, www.ethics.ohio.gov/OhioEthicsLaw.html.

2.0 Family Educational Rights and Privacy Act (FERPA)

Revised: 08/01/07

Edited: 08/01/07

The Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, sets forth requirements designed to protect the privacy of student educational records. The law governs access to records maintained by educational institutions and the release of information from those records. The Ohio State Policy Concerning Privacy and Release of Student Educational Records can be found on the Registrar's website, www.ureg.ohio-state.edu/ourweb/more/Content/ferpa_pg1.html/.

3.0 Immunity, indemnification and representation

Revised: 09/01/99

Edited: 08/01/07

Ohio law provides university employees with immunity from liability in law suits filed in state courts. Individuals seeking to recover damages for the wrongful acts of a university employee must file a state court law suit in the Ohio Court of Claims. The defendant in such a case is the university and employees cannot be named individually.

University employees may in some circumstances be named as individual defendants in law suits filed in federal courts. However, the university may provide legal representation and pay the amount of any judgment in these cases.

University employees must satisfy two conditions in order to obtain the benefit of the immunity in state courts and the indemnification in federal court cases:

- The actions of the employee giving rise to the law suit must be within the scope of the employee's duties.
- The employee cannot be found to have acted with malice, in bad faith, or with reckless disregard as to the consequences of his or her actions.

Further information concerning the legal liabilities of faculty members, including unit heads, may be obtained from OLA (www.legal.osu.edu/olaindex.php).

4.0 Personal use of public property

Revised: 09/01/99

Edited: 08/01/07

Unauthorized use of university property for personal purposes is prohibited and could result in criminal charges. In certain limited circumstances, faculty members may use university property in connection with activities authorized under the Senate Policy on Paid External Consulting (see Book 4). However, faculty members must obtain prior approval from their TIU head and must reimburse the university for the fair market value of such use.

5.0 Public records

Revised: 07/26/04

Edited: 08/01/07

The Ohio Public Records Act defines a "record" as any document, device, or item, regardless of physical form or characteristic, created or received by, or coming under the jurisdiction of, any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

Such records shall be promptly prepared and made available for inspection to any persons at all reasonable times during regular business hours. Upon request, a person responsible for public records shall make copies available at cost, within a reasonable period of time.

An academic unit should have a single person responsible for dealing with public records requests and in most cases that person should be the unit head. The TIU head or other person responsible for handling such requests may wish to consult with OLA (www.legal.osu.edu/olaindex.php) before responding to a request.

The Act does not require that records be created in response to a request. If there is no record that corresponds to a request, then there is no record to be provided.

The Act allows public entities to charge reasonable costs for making copies. If a unit receives a request for copies of records that appears to justify cost recovery, it should seek the advice of the OLA.

The Ohio Revised Code requires public institutions and agencies to abide by the rules for the disposition of public records as established by the State Records Administrator. However, the law exempts public institutions of higher education from the State Records Administrator and authorizes them to establish their own programs of records retention and disposition.

At The Ohio State University, authority for matters of records retention and disposition is vested in the University Archives (www.library.osu.edu/sites/archives/). University Archives maintains a schedule governing the retention and disposition of records common to university units. University Archives also develops schedules for units in cases when they have records not listed on the General Schedule. These schedules are specific to units and are in conformity with *Records Retention for Public Colleges and Universities in Ohio: A Manual* (Columbus, Ohio: Inter-university Council of Ohio, 1992 and updates).

Chapter 7 Sources of Important Information

1.0 Board of Trustees

Revised: 08/01/07

Edited: 08/01/07

The Ohio State University is governed by a board of 17 trustees who are responsible for oversight of academic programs, budgets and general administration, and employment of faculty and staff.

The Governor of the State of Ohio appoints 15 members to 9-year terms and two non-voting student members to two-year terms.

Additional information can be found at the Board of Trustees (BOT) website, www.trustees.osu.edu/.

1.1 Rules of the University Faculty

Revised: 08/01/07

Edited: 08/01/07

According to the Bylaws of the Board of Trustees (3335-3-04) (<http://trustees.osu.edu/bylaws/index.php>), the legislative authority to establish educational and academic policies of the university is vested in the university faculty, subject to the approval of the BOT. In this connection, the university faculty shall have the authority, subject to the approval of the BOT, to adopt rules to effectuate the educational and academic policies of the university. It shall also act upon all matters of routine faculty business in pursuance of already established university policies and shall recommend to the BOT candidates for honorary degrees.

1.1.1 Organization and contents

Revised: 08/01/07

Edited: 08/01/07

The Rules of the University Faculty can be found at www.trustees.osu.edu/ChapIndex/index.php. These rules are divided into 11 Chapters.

- 3335-3 Administration
 - Organization of the university
 - Deans of colleges
 - Dean/directors of regional campuses
 - Chairs of departments
 - Directors of schools
- 3335-5 Faculty, governance, and committees
 - College, departmental/school, regional campus faculties
 - Faculty of the arts and sciences
 - Graduate faculty
 - Council on Research and Graduate Studies
 - University Senate
- 3335-6 Tenure track faculty appointments, reappointments, promotion & tenure
- 3335-7 Regular clinical track and regular research track faculty appointment, reappointment & nonreappointment, & promotion
- 3335-8 Instruction
 - Courses & curricula
 - university required courses
 - Examinations & marks
 - university year
- 3335-9 Attendance and graduation
 - Admission, registration & payment of fees
 - Absences
 - Warning & dismissal
 - Graduation

- 3335-11 Student affairs
 - University discipline
 - Activities
 - The Ohio Union
- 3335-13 University property
 - Restrictions
 - Patent rights
- 3335-15 Miscellaneous provisions
 - Recommendations regarding amendment of rules
 - Regulations & bylaws

1.1.2 Sections of particular interest to faculty

Revised: 08/01/07

Edited: 08/01/07

Sections of particular interest to faculty include the following:

- 3335-5-01 Academic freedom & responsibility
- 3335-5-19 Regular faculty tracks, auxiliary and emeritus faculty
- 3335-5-37 –
- 3335-5-48 University Senate

2.0 Academic Misconduct, Committee on and Code of Student Conduct

Revised: 08/01/07

Edited: 08/01/07

The Committee on Academic Misconduct (COAM) is charged with maintaining the academic integrity of The Ohio State University by establishing procedures for and investigating all reported cases of alleged academic misconduct by students. In those instances where a student is found to have violated the Code of Student Conduct, the committee determines a suitable disciplinary action. The Code of Student Conduct can be found on the BOT website, www.trustees.osu.edu/. More information on COAM, including resources that can be used in the classroom, can be found at the COAM website, www.oaa.osu.edu/coam/home.html.

3.0 Americans with Disabilities Act Coordinator, Office of

Revised: 08/01/07

Edited: 08/01/07

The university's focal point for disability related initiatives is the Office of the Americans with Disabilities Act (ADA) Coordinator. More information, including policies and procedures on accommodation and accessibility, can be found at the Ohio State's ADA website, www.ada.osu.edu.

4.0 Business and Finance, Office of

Revised: 08/01/07

Edited: 08/01/07

The Office of Business and Finance (B&F) attends to the business and finance operations of Ohio State including infrastructure and facilities maintenance services. Additional information, including policies on travel, procurement cards, and reporting and investigating financial fraud can be found on the B&F policies website, www.busfin.ohio-state.edu/expenditures/Index.htm.

5.0 Chief Information Officer, Office of

Revised: 08/01/07

Edited: 08/01/07

The Office of the Chief Information Officer (CIO) provide services to help Ohio State faculty, students and staff use technologies in learning, teaching, research, and administrative settings. More information, including policies on the deployment and use of wireless data networks, disclosure or exposure of personal information, payment for employee home and off-campus internet access, responsible use university computing and network resources, retention of electronic records, and the web can be found at CIO's website, www.cio.osu.edu.

6.0 Commitment to Success Program

Revised: 08/01/07

Edited: 08/01/07

The Commitment to Success Program supports the university's Diversity Action Plan by researching the impact and enhancement diversity has on both educational and work settings at Ohio State. More information on the Commitment to Success Program can be found on the website of the Office of Faculty and TA Development (FTAD), www.ftad.osu.edu.

7.0 Disability Services, Office of

Revised: 08/01/07

Edited: 08/01/07

The Office of Disability Services (ODS) provides services, auxiliary aids, and accommodations for students at The Ohio State University with documented disabilities. ODS also assists faculty members in their responsibilities to ensure all students have access to classroom instruction. The ODS website, www.ods.ohio-state.edu/faculty.asp, includes a faculty handbook on teaching students with disabilities as well as a syllabus statement regarding disability.

8.0 Environmental Health and Safety, Office of

Revised: 08/01/07

Edited: 08/01/07

The Office of Environmental Health and Safety (EHS) assists the university community in providing and maintaining a safe, healthful work environment including biosafety, environmental affairs, occupational health and safety education, radiation safety, research safety and emergency planning and business continuity. Additional information on these topics can be found at the EHS website, www.ehs.ohio-state.edu.

9.0 Faculty and TA Development, Office of

Revised: 08/01/07

Edited: 08/01/07

FTAD provides information, consultation, and event coordination to support teaching. Additional information on FTAD, including the policy on GA preparation and ongoing support can be found on the FTAD website, www.ftad.osu.edu.

10.0 Human Resources, Office of

Revised: 08/01/07

Edited: 08/01/07

OHR provides human resource services to faculty and staff at Ohio State. These services include supporting recruitment and hiring, compensation and benefits programs, employee education and training, enhancing the climate and quality of work life, and creating and valuing a diverse work force. More information on the services OHR provides including university-wide policies on affirmative action, equal employment opportunity, and non-discrimination/harassment; sexual harassment; personnel records; nepotism; conflicts of interest and work outside the university; university faculty and staff assistance program; whistleblower; benefits and services; wage and salary; employment; staff development; hours of work and leaves; health and safety; discipline and grievances; reduction in workforce; and student employment can be found on the OHR website, www.ohr.osu.edu. While some of these policies apply only to staff, most of them apply equally to all university employees including faculty.

11.0 Institutional Research and Planning, Office of

Revised: 08/01/07

Edited: 08/01/07

The Office of Institutional Research and Planning (IRP) develops and analyzes university strategic indicators and performance measures. Additional information on IRP can be found at the IRP website, www.oaa.osu.edu/irp/home.php.

12.0 Minority Affairs, Office of

Revised: 08/01/07

Edited: 08/01/07

The Office of Minority Affairs (OMA) provides leadership in supporting the success of minority students, faculty, and staff. OMA advocates for minority individuals at Ohio State and emphasizes the recruitment, retention, and timely graduation of undergraduate, graduate, and professional students. Additional information can be found at the OMA website, www.oma.osu.edu.

13.0 Registrar, Office of the University

Revised: 08/01/07

Edited: 08/01/07

The Office of the University Registrar provides support for enrollment, course and final exam scheduling, course registration, and other student data-related information. Additional information, including enrollment related policies and Family Educational Rights and Privacy Act (FERPA) can be found on the Registrar's faculty/staff website, www.ureg.ohio-state.edu/Indexes/faculty-staff.html.

The university's final examination policy can be found in Faculty Rules 3338-8-19 and 3335-5-20 (<http://trustees.osu.edu/ChapIndex/index.php>).

14.0 Research, Office of

Revised: 08/01/07

Edited: 08/01/07

The Office of Research provides support for the research mission of the university. Additional information including the policies on the authorization to seek off-campus funding, conflict of interest, facilities and administrative costs (indirect costs), gifts versus grants and contracts, human subjects and biosafety, misconduct in research, patents and copyrights, qualifications for service as a principal investigator, and research scientist appointments can be found at the Office of Research resources website, www.research.osu.edu/resources/index.cfm.

The Office of Research also oversees the Ohio State University Research Foundation (OSURF), the Office of Responsible Research Practices (ORRP), and the Office of Technology Licensing and Commercialization (OTLC).

14.1 Research Foundation, The Ohio State University

Revised: 08/01/07

Edited: 08/01/07

The Ohio State University Research Foundation (OSURF) promotes the development, implementation, and coordination of sponsored research at Ohio State and provides oversight of sponsored projects and the personnel associated with them by offering specialized integrated project development, administrative and financial services for research, and other activities supported by external sponsors. Additional information on OSURF, including the policies governing externally sponsored research at Ohio State can be found at the OSURF website, <http://rf.osu.edu>.

14.2 Responsible Research Practices, Office of

Revised: 08/01/07

Edited: 08/01/07

ORRP provides administrative support to the university research community by assisting faculty, staff, and students seeking committee approvals to conduct human subject and animal research; provide educational programming in support of the responsible conduct of research; and supports the operations of the university's Institutional Animal Care and Use Committee and Institutional Review Boards. More information on these topics can be found on the ORRP website, <http://orrrp.osu.edu>.

14.3 Technology Licensing and Commercialization, Office of

Revised: 08/01/07

Edited: 08/01/07

OTLC fosters an entrepreneurial culture at Ohio State by assisting in maximizing the value of Ohio State developments and by accelerating the transition of new developments into products, services, and new or expanded jobs. Additional information, including policies and legislation governing technology licensing and commercialization can be found at the OTLC website, www.tlc.osu.edu.

Book 3 Promotion and Tenure Review

1.0 Timetable

Revised: 08/01/07

Edited: 08/01/07

All colleges are encouraged to deliver dossiers to OAA as soon as college-level review, including the comments process, is complete, regardless of due date.

The dates below are the latest time at which dossiers can be delivered for each group of colleges. When the deadline cannot be met for individual cases, please let Bobbie Houser (Houser.73@osu.edu) know the status of the case and its anticipated delivery date.

January 2, 2008

Dentistry

Law

Nursing

Optometry

Pharmacy

Social Work

Public Health

These seven colleges without units must submit all Fourth-year Reviews and any annual reviews with a non-renewal recommendation by the dean by January 4 in addition to their promotion & tenure (P&T) cases.

January 16, 2008

Arts

Biological Sciences

Business

Education and Human Ecology

University Libraries

Veterinary Medicine

University Libraries must submit all Fourth-year Reviews and any annual reviews with a non-renewal recommendation by the director of libraries by January 16 in addition to their P&T cases.

February 5, 2008

Engineering

Social & Behavioral Sciences

Mathematical & Physical Sciences

Medicine RTT case

February 19, 2008

Food, Agricultural, and Environmental Sciences

Humanities

Medicine RCT, regular research track (RRT) & auxiliary cases

2.0 Submission to Academic Affairs

Revised: 04/01/07

Edited: 08/01/07

2.1 Positive dossiers for screening

Revised: 04/01/07

Edited: 08/01/07

For every case coming forward with all positive recommendations (or positive at all levels except the college P&T committee), the college should submit one (1) dossier for screening before making and delivering any further copies.

The 10-day comments process at the college level must be complete before you submit the dossier.

Please submit as early as possible and as soon as each case is completed. Doing so will significantly assist OAA in moving the review process along.

OAA prefers to screen the original dossier but if you must submit a copy for screening, you may provide the original dossier later. At the conclusion of every annual review process, the original dossiers are archived.

Positive cases that pass screening do not go to the university-level committee; therefore, no additional copies are needed. If OAA determines that a screened case must go to the committee, OAA will inform the college office and request the necessary number of copies.

2.2 Cases with negative recommendation

Revised: 04/01/07

Edited: 08/01/07

Every case coming forward with a negative recommendation at the TIU faculty, TIU head, and/or dean level must go to the university-level committee. We will therefore need multiple copies: 10 + original. Please contact Bobbie Houser (Houser.73@osu.edu) if you have questions.

The P&T section of the TIU's appointments, promotion and tenure (APT) document must be included in each copy for use by the committee members as they study the case. If more than one case from a single unit will go to the committee, only one copy of the material need be supplied. Put the copy in the dossier of the candidate from that unit whose name comes first in the alphabet.

2.3 Placement of materials

Revised: 04/01/07

Edited: 08/01/07

2.3.1 Cover sheet

Revised: 04/01/07

Edited: 08/01/07

Original: The original signed Record of Review for Promotion in Academic Rank/Tenure/Reappointment ("cover sheet") is placed first in the original dossier. Do not place anything on top of this page. The cover sheet should be immediately visible when the dossier is opened.

Copy: A copy of the signed cover sheet is placed first in each dossier copy, when copies are required.

2.3.2 Dossier checklist

Revised: 04/01/07

Edited: 08/01/07

Original: The original signed checklist is placed directly behind the Record of Review.

Copy: A copy of the checklist is placed directly behind the Record of Review in each dossier copy, when copies are required.

2.3.3 P&T section of the TIU's APT document

Revised: 04/01/07

Edited: 08/01/07

This only applies to cases with a negative recommendation at the TIU faculty, TIU head, and/or dean level.

Original: A copy of the P&T Section of the TIU's APT document is placed directly behind the Dossier Checklist.

Copy: A copy of the P&T Section of the TIU's APT document is placed directly behind the Dossier Checklist.

2.3.4 Presentation

Revised: 04/01/07

Edited: 08/01/07

Use colored sheets of paper (not tab dividers) between the main sections of the dossier. Place each dossier, original and copies, in an individually labeled manila folder. Mark the original dossier to distinguish it from the copies.

On the horizontal tab edge of the manila folder, so that the information is visible when the folder is filed, type:

COLLEGE - LAST name, FIRST name - TIU - REVIEW YEAR

ARTS - Mozart, Wolfgang A. - School of Music – 2007-08

Do not staple.

Do not use paper clips.

Do not bind.

Do not use 3-ring notebooks.

OAA has large numbers of manila folders from previous years which we encourage you to pick up for re-use.

2.3.5 Report on Candidates Considered

Revised: 04/01/07

Edited: 08/01/07

Complete one Report on Candidates Considered for Promotion/Tenure/Reappointment for each TIU.

List all candidates within the unit on the report for that unit—one report per TIU, not one report per candidate.

Indicate for each candidate the voting recommendation (Y or N, not X) at each level of review including the regional campus review when appropriate.

This form is solely for OAA's use in managing the P&T process. You may place your college's set of the forms in a separate envelope or folder when delivering dossiers. The Report on Candidates Considered is not copied or placed inside dossiers.

In the event that dossiers are delivered in stages, the voting results on the report for each TIU should be updated with each successive delivery. However, the initial report should list the names of all faculty members under review in that unit even if some of the reviews are delayed and all voting recommendations are not yet known.

If a faculty member withdraws from a review at any stage, this report should so indicate.

2.3.6 Copies for university level committee

Revised: 04/01/07

Edited: 08/01/07

Create one set of original dossiers in alphabetical order by candidate's last name.

Create 10 sets of copies, each set in alphabetical order by candidate's last name.

3.0 General considerations

Revised: 04/01/07

Edited: 08/01/07

3.1 Review schedule for mid-year hires of probationary regular faculty

Revised: 08/01/07

Edited: 08/01/07

Faculty members hired in January or February are on the same tenure review schedule as faculty hired September through December of the previous calendar year.

Hire Date Falls Between	Tenure Review Starts
Sept 1, 2007 – February 28, 2008	2007 – 2008
March 1, 2008 – August 31, 2008	2008 – 2009

3.2 Public Records Act

Revised: 04/01/07

Edited: 08/01/07

The Ohio Public Records Act (see Book 2, Chapter 6, Section 5.0) requires that public records be made available upon request. Documents generated for P&T reviews are public records. Candidates and others may request access to these documents and units must provide them. Evaluators may be informed that candidates have asked to view evaluation letters.

3.3 Residency status

Revised: 04/01/07

Edited: 08/01/07

The university will only award tenure to U.S. citizens or permanent residents (see Book 1, Chapter 5, Section 5.0).

3.4 Academic rights and freedoms

Revised: 04/01/07

Edited: 08/01/07

In June 2005 a statement on academic freedom and intellectual diversity on American campuses was released by the American Council on Education (ACE), the major coordinating body for the nation's higher education institutions, of which The Ohio State University is a member. The ACE statement includes the following principles:

- Academic freedom and intellectual pluralism are core principles of America's higher education system.
- Government's recognition and respect for independence of colleges and universities are essential for academic excellence.
- Colleges and universities should welcome diverse beliefs and the free exchange of ideas.
- Grades and other academic decisions should be based solely on considerations that are intellectually relevant to the subject matter.
- Neither students nor faculty should be disadvantaged or evaluated on the basis of their political opinions.
- Any member of the campus community who believes s/he has been treated unfairly on academic matters must have access to a clear institutional process to address grievances.

Ohio's Inter-University Council (IUC), a statewide consortium of public universities, endorsed these principles in October 2005. It then passed a resolution recommending that all four-year public universities in Ohio communicate these principles to their campus communities.

3.5 University level review committee

Revised: 08/01/07

Edited: 08/01/07

The Promotion and Tenure Advisory Committee is appointed during summer quarter. The committee consists of nine faculty members from different colleges. Faculty members serve a three-year term with a third of the committee cycling off in a typical year. A vice provost serves as the non-voting convenor of the committee.

3.5.1 Members

Revised: 08/01/07

Edited: 08/01/07

2005 – 2008

William I. Notz, MAPS

2006 – 2009

Stephen E. Bechtel, ENG

Jane D. Case-Smith, MED

Dennis J. McTigue, DENT

Richard E. Petty, SBS

Clare A. Simmons, HUM

2007 – 2010

Melanie Bales, ARTS

Mario J. Miranda, FAES

Steven W. Rissing, BIOSCI

3.6 Procedures for regular tenure track faculty

Revised: 04/01/07

Edited: 08/01/07

Most review procedures are covered by the APT documents of the TIU and college.

3.6.1 Verifying residency status

Revised: 04/01/07

Edited: 08/01/07

The university can only grant tenure to U.S. citizens or permanent residents. In the case of a non-mandatory review, a faculty member who is neither a U.S. citizen nor a permanent resident can be approved for promotion and tenure. The university will award promotion and tenure only upon receipt of permanent residence status. Individuals in this category have a maximum of four years to obtain permanent resident status or their employment will be terminated.

In the case of a mandatory review a faculty member who is neither a U.S. citizen nor a permanent resident may be granted “Visiting Professor” status. Visiting Professors in this category have a maximum of three years to obtain permanent resident status or their employment will be terminated.

3.6.2 Procedures Oversight Designee

Revised: 04/01/07

Edited: 08/01/07

TIU: The eligible faculty members of the TIU select a member of the TIU P&T Committee as Procedures Oversight Designee (POD).

College: The members of the College P&T Committee select one of its members as POD.

Although a single committee member is assigned oversight responsibility, all members of review bodies must accept personal responsibility for assuring that reviews are procedurally correct, fair, and free of bias for all faculty members. Review bodies, not the POD, are ultimately responsible for the integrity of the review process.

3.6.3 Integrity of review procedures

Revised: 04/01/07

Edited: 08/01/07

The POD should make reasonable efforts to assure that the review body at that level follows the written procedures governing its reviews and that its proceedings are carried out in a highly professional manner. The POD should monitor the review process in regard to equitable treatment for women and minority candidates, including assuring that the proceedings are free of inappropriate comments or assumptions about members of underrepresented groups that could bias their review.

If the POD has concerns about a review, these concerns should first be brought to the attention of the person or review body generating the concerns. For example, if a dossier is not prepared correctly, the POD should ask the candidate who prepared the dossier to make needed changes. If appropriate procedures are not being followed by either faculty or staff, then those individuals should be promptly informed of the problem.

If concerns cannot be resolved to the satisfaction of the POD, then they should be brought to the attention of the relevant administrator (TIU head or dean, depending on the level of review). The administrator must look into the matter and respond in writing to the POD regarding either the actions taken or the reasons that action was judged to be unwarranted.

3.6.4 Voting procedures

Revised: 08/01/07

Edited: 08/01/07

Only "yes" and "no" are votes. Consistent with Robert's Rules of Order, OAA does not consider abstentions to be votes and they may not be counted in determining whether the unit's recommendation on a case will be positive or negative. Only voting eligible faculty members present at the meeting or participating in the meeting by discussing the case by teleconference may vote.

Some units define a positive outcome in a manner leading to ambiguous or controversial results when a vote is mixed or when a substantial proportion of faculty do not vote either "yes" or "no." OAA suggests a definition that requires two-thirds of members present in order for the recommendation to be positive (see Book 1, Chapter 1, Section 3.1).

3.6.5 Documentation

Revised: 04/01/07

Edited: 08/01/07

The university requires complete documentation of the faculty member's teaching, research, and service (unless one of these is not an expectation of the position) to conduct an informed review.

TIUs should not start formal consideration of a case until the dossier and associated documentation (such as external evaluations) meet all requirements. Errors in documentation found at a later stage of review often require correcting them and restarting the review.

3.6.5.1 Non-mandatory reviews

Revised: 04/01/07

Edited: 08/01/07

Do not seek external evaluations before determining the availability of all documentation required by the dossier outline along with any supplemental requirements established by the TIU and college. Examples

of situations in which a promotion review must be postponed until an academic year when complete documentation is available:

- The candidate has failed to obtain or retain student evaluations for all courses taught in the past five years or since hire, if less than five years ago.
- The TIU has not conducted peer evaluation of teaching as required by the unit's APT document.

3.6.5.2 Mandatory reviews

Revised: 04/01/07

Edited: 08/01/07

Although substantive missing documentation is grounds for a negative decision, mandatory reviews must proceed even when documentation is missing and unobtainable.

3.6.6 Verification of citations

Revised: 04/01/07

Edited: 08/01/07

One of the responsibilities of the POD at the TIU level is to affirm that the accuracy of all citations listed in the dossier has been verified. This verification is one of the items on the Dossier Checklist. If this responsibility is carried out by another person, that person must be clearly identified on the checklist.

3.7 External evaluations

Revised: 04/01/07

Edited: 08/01/07

The TIU head, P&T committee chair, or equivalent individual as stated in the TIU's APT document, is responsible for requesting the external letters of evaluation.

External evaluation letters must be submitted by regular mail on institutional letterhead and carry the evaluator's signature. Such a letter submitted via fax is acceptable when timing is critical, but must be followed by a mailed original.

Evaluations submitted by e-mail are unacceptable.

Under no circumstances should candidates contact prospective or actual external evaluators regarding their case at any stage of the review process, nor should they discuss their case with any evaluator or provide additional materials to any evaluator even if the evaluator initiates the contact. Such contact compromises the integrity of the review process. Soliciting external evaluators and providing materials to them is solely the responsibility of the TIU head, P&T committee chair, or equivalent individual as stated in the TIU's APT document.

Faculty Rule 3335-6-04 (B) (3) (<http://trustees.osu.edu/ChapIndex/index.php>) requires that no more than one-half of the external evaluation letters in the dossier may be from persons suggested by the candidate.

In order to meet this requirement, more letters should be solicited from persons not suggested by the candidate than from persons suggested by the candidate. So as not to exhaust the pool of potential evaluators, it is also best that the number of evaluators suggested by the candidate be limited to three or four.

All letters solicited and received must be included in the dossier unless OAA approves their removal from the review process.

To best assure meaningful and credible external evaluations while meeting the above requirement, the following suggestions are offered. Units may follow other procedures, but these have proved to work very well.

- The TIU head and/or P&T committee should generate a lengthy list of prospective evaluators who are not employed at The Ohio State University. These should be distinguished faculty (or occasionally non-academics) who are in a position to comment in an informed way both on the quality of the candidate's scholarly work and on its significance to the broader field in which it resides. External evaluators must be able to provide an objective evaluation of the scholarly work. They may not be former advisors, collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that could reduce objectivity. It is essential that the individual or body generating the list of prospective evaluators ascertain the relationship of those individuals with the candidate before seeking a letter of evaluation and not seek letters from persons who cannot provide an arm's-length evaluation.
- Letters from collaborators may be appropriate as a means of determining a candidate's contributions to jointly conducted work, but collaborators must not be asked to write an external evaluation. They cannot be arms-length since they would be, in part, evaluating their own work. Collaborators can generally be identified by examining the candidate's list of publications and grants, but the best way to avoid asking a collaborator to be an external evaluator is to ask the candidate to review the full list of potential external evaluators, to identify all who have been collaborators, and to describe the nature and timing of the collaboration. A different request letter from the one sent to regular external evaluators must be sent to research collaborators.
- The candidate should be shown the list and be invited to augment it with several names of persons who meet the criteria for objective, credible, arm's-length evaluators. Unless the persons so identified do not meet such criteria and the candidate cannot offer acceptable alternatives, the TIU should make every reasonable effort to obtain at least one letter from a person suggested by the candidate. OAA does not require that the dossier contain letters from persons suggested by the candidate.
- The TIU head (or dean) may choose to seek approval of the tentative list of prospective evaluators for each candidate from the dean (or OAA) to minimize the risk that the selection of evaluators will subsequently be judged inappropriate. If such approval is sought, the dean (or OAA) must be provided complete and accurate information about the prospective evaluator's credentials and relationship with the candidate.
- Approximately three months before completed evaluations are due, the person designated by the TIU to solicit external evaluations should send out letters of invitation to the prospective evaluators. The letter of invitation should state expectations, due date for receipt of the completed evaluation, and the realities of the Public Records Act (see Book 2, Chapter 6, Section 5.0).
- Evaluators who accept the invitation should then be sent the appropriate materials. All evaluators should be sent the same materials unless there is a substantive reason for differentiating among evaluators. In a case in which evaluators are sent different materials, the TIU head or chair of the P&T committee must provide an explanation to be included in the dossier. When evaluators are sent different materials (different research papers), TIUs must take care to assure that sufficient

letters are obtained regarding the different sets of papers to provide a meaningful body of evaluative information about each set.

- The likelihood of obtaining a useful letter is greatly increased when the evaluator is not only given plenty of time in which to review the materials, but when the nature of the requested letter is carefully explained. Evaluators should generally be asked only to provide a critical analysis of the candidate's scholarly work (at least partly on the basis of provided materials). Evaluators should specifically be asked not to comment on other matters such as whether the candidate should be promoted and tenured at Ohio State or would be promoted and tenured at their own institution.

3.8 Comments process and informing candidate of review outcomes

Revised: 04/01/07

Edited: 08/01/07

3.8.1 Tenure initiating unit level

Revised: 04/01/07

Edited: 08/01/07

After the letter from the TIU deliberative body to the TIU head and the letter from the TIU head to the dean are completed, the TIU head must immediately inform the candidate in writing of the following:

- nature of the recommendations by the TIU deliberative body and by the TIU head
- availability of the TIU deliberative body's letter to the TIU head and the TIU head's letter to the dean if the candidate wishes to review them
- Opportunity for the candidate, for up to 10 calendar days from receipt of the written notice, to provide written comments on the above letters for inclusion in the dossier when the case is forwarded to the college. If the last day of a designated time period falls on a weekend or a day on which the university is closed, the time period shall expire at the close of business on the next succeeding business day.
- opportunity for the TIU deliberative body and the TIU head to provide written comments on the candidate's comments, also for inclusion in the dossier when the case is forwarded to the college
- outline of the remaining steps in the review process (review at the college and university levels of the recommendations originating in the TIU, and ultimately approval by the president and the BOT of positive recommendations by the provost)

It is desirable for the TIU deliberative body and/or TIU head to respond in writing to comments by the candidate alleging procedural problems that might reasonably have affected the review's outcome.

3.8.2 College level

Revised: 04/01/07

Edited: 08/01/07

After the college P&T committee completes the letter to the dean and the dean completes the letter to the provost are completed, the comments process is repeated exactly as described above.

3.8.3 Use of the comments process

Revised: 04/01/07

Edited: 08/01/07

Candidates are advised to use this process to amend, correct, or otherwise comment on factual information or procedural matters. Candidates should understand that the exercise of professional judgment on the part of reviewers is central to the review process.

3.9 Reconsideration of case during review process

Revised: 04/01/07

Edited: 08/01/07

It may occasionally be appropriate, while a review is in process, for one or more parties to the review to reconsider the case. Such a re-review may be prompted either by procedural problems or by significant new information. Consultation with OAA is strongly recommended before an administrator or faculty review body initiates a reconsideration of a case.

3.9.1 Procedural error

Revised: 04/01/07

Edited: 08/01/07

Significant procedural errors (those that reasonably could have affected the outcome of deliberations) should be corrected before the review continues. If a review body or unit administrator becomes convinced that such an error has occurred, that body or administrator should take necessary steps to correct the error at the level of review at which it occurred. The case should be fully reconsidered from that point on.

If internal letters of evaluation and comments letters have already been generated at that level of review and beyond, they should be saved but not included in the dossier. The new written evaluations should note that reconsideration took place because of a procedural error and state the nature of the error. The comments process must be repeated for the new internal letters of evaluation at the TIU or college level.

3.9.2 Significant new information

Revised: 04/01/07

Edited: 08/01/07

Generally, reviews proceed on the basis of a candidate's record at the beginning of the review process. Occasionally it may be appropriate to amend the record when significant new information becomes available. An amended record must be reviewed by all parties to the review process.

If information regarding significant new accomplishments becomes available before a case leaves the TIU, but after the TIU deliberative body has voted, the question of the appropriateness of reconsideration may be posed immediately. If the information becomes available after a case has left the TIU, a higher level review body may return the case to the TIU.

3.9.3 Recommended procedures

Revised: 04/01/07

Edited: 08/01/07

In either case, following review of the new information (which need not take place in a meeting), the TIU deliberative body may take a preliminary vote to determine whether to re-vote the case. This preliminary vote may take the form of a ballot asking each member of the deliberative body to indicate whether the new information might change his/her vote. If one person indicates that his/her vote might change, the TIU deliberative body shall meet to discuss the case with the new information and re-vote. The originally

generated reports will then be amended to reflect the content of the reconsideration and the new vote. In this situation:

- Previously generated reports remain in the dossier.
- The comments process is repeated.
- The case then proceeds to the next level in the review process either for initial consideration or reconsideration. If that body has previously considered the case, it may also follow the two-step process described above to determine whether to re-vote the case.

3.10 Conflict of interest on P&T committees

Revised: 04/01/07

Edited: 08/01/07

A faculty member should not participate in the review of a particular candidate when s/he has a conflict of interest. Such a conflict may exist when there is a familial or comparable relationship with the candidate or a close professional relationship such that the faculty member stands to gain or lose professionally from the outcome of the review of a candidate. A similar concern may exist when a faculty member was the candidate's dissertation advisor. It may be difficult for a faculty member to review a candidate objectively when the faculty member is co-author on a significant portion of the candidate's published work or when the faculty member is dependent in some way on the candidate's professional services.

When there is a question about potential conflicts, open discussion, and professional judgment are required in determining whether it is appropriate for the faculty member to recuse himself or herself from a particular review. Some units establish formal mechanisms for excluding persons from a review on the basis of a conflict of interest.

Members of college and university P&T committees should not participate in reviews of cases from their own TIUs or in cases in which they have any involvement at a previous level of review.

3.11 Reviews in restructured tenure initiating units

Revised: 04/01/07

Edited: 08/01/07

In restructured TIUs, for the first two years after establishment of the restructured unit (in the case of faculty to be reviewed for promotion and tenure) or for the first year (in the case of faculty to be reviewed for promotion only), candidates are to be given the choice of being reviewed under the P&T guidelines and by the faculty of their previous unit or under the P&T guidelines and by the faculty of their new unit.

The candidate must make the choice and then acknowledge in writing that, once the review commences under the chosen means, the choice is irrevocable. Regardless of the candidate's choice, the current TIU head provides the administrative review of the case.

3.12 Withdrawals and negative decisions

Revised: 04/01/07

Edited: 08/01/07

3.12.1 Withdrawals

Revised: 04/01/07

Edited: 08/01/07

A candidate may withdraw from a review at any time.

3.12.1.1 Non-mandatory review

Revised: 04/01/07

Edited: 08/01/07

When a faculty member withdraws from a non-mandatory review, the withdrawal is noted on the college report. The dossier should be kept in the candidate's TIU, but not in his/her primary personnel file, until such time as the candidate either is promoted or is denied tenure.

A candidate who decides to terminate a non-mandatory review should put the request in writing and address it to the administrator at the level at which the case presently resides (regional campus, TIU, college, OAA).

The administrator at that level will notify all other relevant administrators.

3.12.1.2 Mandatory review

Revised: 04/01/07

Edited: 08/01/07

Probationary faculty who withdraw from or decline to participate in a mandatory review for tenure or promotion and tenure are subject to the relevant standards of notice per Faculty Rule 3335-6-08 (<http://trustees.osu.edu/ChapIndex/index.php>). Their decision to terminate the review must be accompanied by a letter of resignation to the TIU head (or regional campus dean) stating:

- Last day of employment (no later than June 30 of the year following the mandatory review year). Normally this is the end of the seventh year but may be earlier if the faculty member had a shorter probationary period.
- Acknowledgement that the decision to terminate the review is irrevocable and that tenure will not be granted.

This action requires that the Report of Nonrenewal of Probationary Appointment of Regular Tenure track, Regular Clinical Track, and Regular Research Track Faculty be submitted to OAA, along with a copy of the faculty member's letter, by June 1 of the year in which the decision to terminate the review occurs.

OAA must keep accurate records of such actions since it, like a negative decision, usually precludes rehiring the individual (see Book 1, Chapter 3, Section 8.0).

3.12.2 Negative Decisions

Revised: 04/01/07

Edited: 08/01/07

If an untenured candidate is denied tenure, s/he must be notified promptly of this decision and informed in writing that June 30 of the year following the mandatory review year is the last day of employment. The nonrenewal letter must be accompanied by a copy of the material on appeals (see Book 2, Chapter 3).

The termination date is June 30 regardless of hire date. June 30 will be the final working day for these persons, with a final pay-out effective on that day for both 9-month and 12-month faculty.

A negative decision usually precludes rehiring the individual, particularly in a new RTT faculty appointment (see Book 1, Chapter 3, Section 8.0).

4.0 Dossier

Revised: 04/01/07

Edited: 08/01/07

The Record of Review for Promotion in Academic Rank-Tenure-Reappointment ("Cover Sheet") gives administrators' recommendations with their signatures along with basic information on the faculty member's appointment and the review. It is the first page of the dossier and should be immediately visible when the folder is opened. Do not place anything on top of the "Cover Sheet."

The Dossier Checklist is placed second, immediately behind the "Cover Sheet."

A single checklist is used to ensure that every dossier meets all requirements before moving to the next level of review. In four stages the candidate, the TIU-level POD, the college-level POD, and a designated staff member in the college office will use the same checklist to examine the dossier and to ascertain its accuracy and completeness. The college will serve as the final guarantor of the integrity of every dossier before it is forwarded to OAA for the completion of the review process.

In colleges without units (colleges that serve as the TIU for their faculty), the POD will fulfill the role of the TIU-level designee.

Primarily responsibility of the candidate:

- Part I. Introduction—Biographical statement
- Part III. Core Dossier

Primarily responsibility of the TIU and college:

- Record of Review ("Cover Sheet")
- Dossier Checklist
- Part II. Evaluation

4.1 Outline

Revised: 04/01/07

Edited: 08/01/07

Record of Review

Dossier Checklist

I. Introduction

II. Evaluation

A. Internal Letters of Evaluation

B. External Letters of Evaluation

III. Core Dossier

Appendix for Fixed-Response Student Evaluation Data

4.1.1 Introduction

Revised: 04/01/07

Edited: 08/01/07

Include a biographical statement listing degrees and professional positions held, with dates for each. This statement replaces the traditional CV appended in the past.

4.1.2 Evaluation

Revised: 04/01/07

Edited: 08/01/07

Only letters solicited by the chair, P&T committee chair, or other authorized persons may be considered in the review process and/or included in the dossier.

All items in this section should be placed in the order listed to ensure that necessary items are included and may be easily located during the review process.

Every item in Part II.A. should be preceded by a plain-colored page noting the item that follows.

4.1.3 Internal letters of evaluation

Revised: 04/01/07

Edited: 08/01/07

Either the P&T committee chair or the TIU head must explain the unit expectations against which the candidate is being assessed. Likewise, either the chair of the regional campus faculty deliberative body or the regional campus dean must explain the regional campus expectations against which the candidate is being assessed.

1.1) Regional campus faculty deliberative body's detailed assessment of the candidate's accomplishments in teaching and service along with recommendations based solely on these aspects of the record.

1.2) Regional campus dean's detailed assessment of the candidate's accomplishments in teaching and service along with recommendations based solely on these aspects of the record.

2.1) TIU faculty deliberative body's detailed assessment, to include:

- thorough assessment of the candidate's accomplishments in teaching, scholarship, and service, regarding both strengths and weaknesses
- report of the discussion by the faculty deliberative body
- numerical vote of the full faculty deliberative body

2.2) TIU head's (or dean in colleges without units) independent assessment of the candidate's accomplishments, regarding both strengths and weaknesses. This assessment should take into account the faculty deliberative body's recommendation. If the TIU head's assessment and/or recommendation differs from that of the faculty, bases for differing judgments should be addressed.

2.3) Head of any unit in which the candidate holds a joint (split FTE) academic appointment's independent assessment of the candidate's accomplishments, regarding both strengths and weaknesses. Such a letter is optional only when the joint appointment is both 0% FTE and entails very little interaction between the candidate and the unit.

2.4) TIU-level comments process, including any letters generated or a notation that the candidate declined to provide comments.

3.1) College P&T committee's (in colleges with units) independent assessment including the committee's numerical vote and recommendation to the dean. If the college committee's assessment is contrary to the TIU-level assessment, bases for differing judgments should be addressed.

3.2) College dean's (in colleges with units) independent assessment and recommendation to the provost. If the dean's assessment and/or recommendation differs from any of the prior assessments or recommendations, bases for differing judgments should be addressed.

3.3) College-level comments process, including any letters generated or a notation that the candidate declined to provide comments.

4.1) Annual review letters.

OAA has required written annual evaluations of all regular faculty since 1993. If annual review letters are lacking for any of the years specified below, a written explanation is required.

For untenured candidates, include all annual review letters since year of hire.

For tenured candidates, include all annual review letters since last Ohio State promotion or year of hire with tenure, not to exceed the most recent five years.

4.2) Written comments on the annual reviews by untenured and tenured candidates shall be included if the candidate requests.

5) Documentation of peer evaluation of teaching (letters, reports). Peer review is required. The material in this section must match requirements set forth in the TIU's APT document.

4.1.4 Additions

Revised: 04/01/07

Edited: 08/01/07

Units and colleges may add to the above list any evaluations that are required in their APT documents. For example, in some TIUs that have sections or divisions, a letter from the section or division head is required by the unit.

4.1.5 External letters of evaluation

Revised: 04/01/07

Edited: 08/01/07

1) Summary sheet listing (summary form for respondents):

- name and institution of all persons from whom letters were solicited
- name of person who suggested each evaluator
- the relationship of the evaluator to the candidate (expert in the field, collaborator)

2) Persons who were asked to write, but did not, must be listed on a second summary sheet (Summary Form for Non-Respondents). Cover pages, however, should not be included for these persons.

3) A single representative example of the letters sent to the evaluators if these letters were identical. If different letters, or different sets of material for review, were sent, an example of each must be included along with an explanation of why evaluators were treated differently.

If the letter does not list the materials sent to the evaluators, provide this information separately.

4) External letters preceded by a cover page (see External Evaluator Cover Page in Forms Section) for each letter received containing the following information:

- name, title (rank if in the academy), and institutional affiliation
- Concise summary of the person's qualifications as an evaluator of the candidate. Sufficient information must be provided to establish the credibility of the evaluator; simply to note that the evaluator is a professor at university X or does research in the candidate's area is insufficient. Do not, however, include the full CV of each evaluator when forwarding the dossiers to the OAA.
- name of person who recommended the evaluator (candidate, chair, or other [specified])
- evaluator's relationship to the candidate (expert in the field, collaborator). This information must be accurate

4.1.3 Core dossier

Revised: 04/01/07

Edited: 08/01/07

4.1.3.1 Instructions for the candidate

Revised: 04/01/07

Edited: 08/01/07

Number pages consecutively within the Core Dossier. The first page will be the first item in the Core Dossier Outline.

In Parts I and II place the required materials in sequence following the outline, but do not paginate them.

You must include every item in the Core Dossier Outline in your dossier. If a particular item is not applicable to you, note "N/A" for the item. Do not omit the item.

You should not look at dossiers from the past (including your own) for examples of how to present material, since guidelines change and past formats may no longer be acceptable. If you are unsure about the content needed for a particular item, ask your TIU head or P&T committee chair for assistance.

Present your accomplishments as succinctly as possible and in outline form to the extent possible. Some explanation is valuable but lengthy narrative and explanation may obscure important accomplishments rather than highlight them.

Avoid self-evaluation except when it is requested. Assessment of the quality and importance of your accomplishments is most appropriately offered by others.

Item 6 below should contain only summary tables of SEI (Student Evaluation of Instruction) data. Individual course fixed-response student evaluation reports should be placed in the Appendix, as explained at the end of the Core Dossier outline.

4.1.3.2 Time frame

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Edited: 08/01/07

In the review process, attention is paid both to productivity since the date of hire or last promotion (whichever is more recent) and accomplishments over one's entire career. In the outline below, some items specifically state the time frame for the requested information. When no time frame is specified, you may provide information for the entire career if it is germane to the evaluation. However, you should supply dates for all listed activities and accomplishments, making it possible for reviewers to identify clearly those that took place since the date of hire or last promotion (whichever is more recent).

4.1.3.3 Core dossier outline

Revised: 04/01/07

Edited: 08/01/07

1) Undergraduate, graduate, and professional courses taught since date of hire or past five years (whichever is more recent)

List each course taught and clinical instruction (see Courses/Clinical Instruction in Forms Section), including the following information:

- courses taught in chronological order by quarter (AU, WI, SP, SU) and year
- course number, title, and number of credit hours
- official final course enrollment
- percentage of course taught by candidate based on proportion of total student contact hours in course
- brief explanation of your role, if you were not solely responsible for course, including GTA supervision, course management, team teaching
- indication of whether formal course evaluations were completed by students or others by placing a check mark in the appropriate column

If you have not obtained student evaluations in every regular classroom course, explain why you have not done so. Such evaluation is required by Faculty Rule 3335-3-35 (C) (14) (<http://trustees.osu.edu/ChapIndex/index.php>).

Do not include in this list extension, continuing education, or other non-credit courses.

2) Involvement in graduate/professional exams, theses, and dissertations

a) Graduate students: give number completed and number current and include:

- doctoral students (dissertation advisor). For advisees who have graduated, list name of student, year of graduation, and title of dissertation. Also provide the current position of the former student, if known
- master's students plan A (thesis advisor). For advisees who have graduated, list name of student, year of graduation, and title of thesis. Also provide the current position of the former student, if known
- master's students plan B (advisor)
- doctoral students (dissertation committee member)

- doctoral students (general examination committee chair)
- doctoral students (general examination committee member)
- do not include service as a Graduate School representative
- master's students (thesis committee member)
- master's students (examination committee member)

b) Describe any noteworthy accomplishments of graduate students for whom you have been the advisor of record, for example, publications during or emanating from graduate program, awards for graduate work, prestigious post-docs or first post-graduate positions.

c) Senior honor theses: give name of student, title of thesis, quarter of graduation, and noteworthy outcomes of this mentorship such as publications, presentations, honors or student awards.

d) Describe any noteworthy accomplishments of undergraduate students, in particular related to research, for whom you have been the advisor of record (publications, posters, honors or student awards).

3) Extension and continuing education instruction

Summarize briefly the major instructional activities (workshops, non-credit courses) which you have conducted. Identify your role in the instruction and the number of participants.

4) Curriculum development since date of hire or last promotion (whichever is more recent)

Give specific examples of your involvement in curriculum development (role in the design and implementation of new or revised courses); development of new teaching methods or materials (undergraduate, graduate, or professional); creation of new programs.

5) Brief description of your approach to and goals in teaching, major accomplishments, plans for the future in teaching.

6) Evaluation of teaching since date of hire or last five years (whichever is more recent)

Describe the variety of ways in which the quality of your teaching has been evaluated (student evaluation of teaching, peer review, unit surveys). Describe how you have used the evaluation information to improve the quality of instruction.

a) Fixed-Response Survey: For all courses in which you used a type of fixed-response survey (the SEI, SET or comparable unit form) to obtain student evaluations, provide a summary table. Complete documentation as set forth below is required.

If you have not obtained or retained student evaluations for all or most courses taught during the relevant time frame, and review at this time is not mandatory, the review should be postponed until you have accumulated the required documentation.

Results for every quarter the course was taught are presented horizontally across the page in the summary table. The table should not simply list item numbers, but should clearly describe the item to which students were responding, i.e., the table should be self-explanatory to anyone who reviews it.

To obtain a Cumulative Student Evaluation of Instruction (SEI) Report that meets OAA guidelines:

- Go to www.ureg.ohio-state.edu/ourweb/online.html for a menu of the Registrar's online services.
- Under "Online Services for Faculty and Staff" there is a link called "Instructor's Cumulative SEIs"
- Entering OSU username (name.number) and password gives access to the cumulative summary.

The Core Dossier proper contains only summary, not individual fixed-response student evaluation reports. Reports that tally the results for an entire class of students in a given course (one evaluation form per course per quarter, not one form per student per course per quarter) are placed in the Appendix, as explained at the end of the Core Dossier outline.

Only in individualized teaching situations for relatively small groups, such as grand rounds or clinical teaching, may individual evaluations (one per student) be included in the Appendix. These responses too might be summarized on a single form for each clinical teaching group, since numbers are small, but OAA has never insisted on this.

2) Open-ended (narrative) evaluation: For all courses in which you used open-ended evaluation instruments as the primary means of collecting student input, someone other than you must summarize the comments on a course-by-course basis for inclusion in this section of the dossier. Ask your TIU head to assign this task to someone and make the request well in advance of the deadline for completion of your dossier. State in the dossier the name and role (such as faculty member or staff member) of the person who wrote the summaries. Any faculty member or qualified staff member may fulfill this task.

For both fixed-response or open-ended evaluation instruments, state on each course summary:

- The role (student, faculty member, or staff member) of the person who handed out and collected the evaluation instrument.
- The number of students in the course and the number of these who completed evaluations.

7) Awards and formal recognition for teaching

List awards you have received for excellence in teaching. Nominations for such awards should not be listed. These awards may include citations from academic or professional units (department/school, college, university, professional associations) which have formal procedures and stated criteria for awards for outstanding teaching performance. To the extent possible, describe how awardees are selected and the extent of competitiveness of the award.

8) Academic advising

Identify number and level of advisees seen on a regular basis since date of hire or last promotion (whichever is more recent). Describe specific responsibilities in advising (direct enrollment, coordinating advisor, career advisor).

9) Advisor to student groups and organizations

Identify name of group or organization and specific responsibilities as advisor.

10) Student Affairs committees, task forces and other student services

Summarize participation in student affairs programs such as fireside discussions, lectures to student groups outside your unit, addresses or participation at student orientation.

List student affairs committees or task forces on which you have served as a member or chair.

Identify contributions to any other student services not covered in the above categories.

11) Student services awards or formal recognition

List awards you have received as recognition for your contributions to student affairs.

12) Chronological list of books, articles, and other published papers

Only papers and other scholarly works that have been formally accepted without qualification for publication or presentation, or have actually been published or presented, should be listed in Items a-g below.

Works under review must be listed separately in Item j.

Use the standard citation style for your discipline with authors listed exactly as they are listed on the publication. You must list yourself even if you are the only author.

In cases of multiple authorship for Items 12 a-e, a narrative description of your intellectual contribution is required. Examples of appropriate formats for this information include:

- I designed the experiment (which was carried out by the graduate student co-authors), and wrote the article.
- I identified the patients for the study, administered the drug regimen, reported results to the consortium and reviewed the draft manuscript.
- I completed and wrote the literature review for the paper, shared equally with the co-author in the analysis and interpretation of the data, and reviewed the complete draft manuscript.

Statements such as the following are not acceptable: "All authors contributed equally"; "50% effort." Do not refer to past dossiers for models of how to write the required description, since they occasionally include unacceptable statements such as these.

You may provide the approximate percentage of your contribution in relation to the total intellectual effort involved in the work if your unit or college requires this information. This information is not required by OAA and under no circumstances is it an acceptable substitute for the required narrative description.

For Items f-j: the above information is not needed unless your unit requires it.

Include as separate categories:

- a) Books (other than edited volumes) and monographs
- b) Edited books
- c) Chapters in edited books
- d) Bulletins and technical reports

e) Peer-reviewed journal articles

f) Editor-reviewed journal articles

g) Reviews and abstracts (indicate whether peer reviewed)

h) Papers in proceedings (indicate whether peer reviewed)

i) Unpublished scholarly presentations (indicate whether peer reviewed)

j) Potential publications under review (indicate authorship, date of submission, and to what journal or publisher the work has been submitted)

13) Chronological list of creative works pertinent to your professional focus (inventions; dramatic, dance, or musical performances; or exhibits of your art).

14) Brief description of the focus of your research, scholarly or creative work, major accomplishments, and plans for the future

15) Description of quality indicators of your research, scholarly or creative work such as citations, publication outlet quality indicators such as acceptance rates, ranking or impact factors of journal or publisher. Individual units should determine what kinds of information could be described here, if any.

16) Research funding

In cases of multiple authorship for Items 16 a-b, a narrative description (of the type described above for Item 12) of your intellectual contribution is required. List the author or authors in the order in which they appear on the grant proposal.

You may provide the approximate percentage of your contribution in relation to the total intellectual effort involved in the grant proposal if your unit or college requires this information. This information is not required by OAA and under no circumstances is it an acceptable substitute for the required narrative description.

a) Funded research on which you are or have been the principal investigator

- period of funding
- source and amount of funding
- whether funding is in the form of a contract or grant

b) Funded research on which you are or have been a co-investigator

- period of funding
- source and amount of funding
- whether funding is in the form of a contract or grant

c) Proposals for research funding that were submitted but not funded

- date of submission
- title of project

- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable

d) Funded training grants on which you are or have been the equivalent of the principal investigator

- source and amount of funding
- whether funding is in the form of a contract or grant

e) Proposals for training grants that were submitted but not funded

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable

f) Any other funding received for your academic work

Provide the type of information requested above as appropriate.

17) List of prizes and awards for research, scholarly or creative work.

18) List of editorships or service as a reviewer for journals or other learned publications.

19) List of offices held and other service to professional societies. List organization in which office was held or service performed. Describe nature of organization (open or elected membership, honorary).

20) List of consultation activity (industry, education, government). Give time period in which consultation was provided and other information as appropriate.

21) Clinical services. State specific clinical assignments.

22) Other professional/public service such as reviewer of proposals or external examiner, if not listed elsewhere.

23) Administrative service. Give dates and description of responsibility.

a) Unit committees

b) College or university committees

c) Affirmative action and mentoring activities

d) Administrative positions held

e) Other administrative services to/for the university

24) Brief examples of the impact of service to your unit, the college, the university or profession if not covered elsewhere.

25) Major academic/professional awards and commendations, if not listed elsewhere.

26) Appendix for fixed-response student evaluation data

Copies of individual course fixed-response student evaluation reports should be placed here. Item 6 of the Core Dossier proper should include only the summary tables of these reports.

a) If you used SEI or SET instruments, include all individual course reports.

b) If you used another type of fixed-response survey instrument, include here one page per course/quarter taught, listing:

- actual statements to which students responded
- full rating scale of possible responses
- for each statement, number of students that selected each response choice

5.0 Procedures for regular clinical and regular research track faculty

Revised: 04/01/07

Edited: 08/01/07

Positive decisions by the dean to reappoint RCT and RRT faculty to a new contract period will be approved by OAA without review and forwarded to the BOT for final action. For each positive decision, submit to OAA one original signed "Cover Sheet" (Record of Review for Promotion in Academic Rank/Tenure/Reappointment).

Do not submit reappointment letter, CV, or dossier.

A decision by the dean not to reappoint is final.

For further information on review and reappointment of RCT and RRT faculty, see Chapter 6.

5.1 Regular clinical track

Revised: 04/01/07

Edited: 08/01/07

RCT faculty who have not collected and maintained the documentation necessary to support a fully informed evaluation should be informed that promotion will be considered only when sufficient documentation has been accumulated.

5.1.1 Levels of review

Revised: 04/01/07

Edited: 08/01/07

The only promotion cases forwarded to the OAA for review on the university-level are those for which the dean recommends positively. The dean's decision is final for cases in which promotion is denied.

5.1.2 Documentation of teaching and service

Revised: 04/01/07

Edited: 08/01/07

Complete documentation of teaching and service is required.

5.1.3 Documentation of research: external evaluation

Revised: 04/01/07

Edited: 08/01/07

External evaluations are optional for RCT faculty unless research is an expectation of the position. If research is an expectation of the position but an insufficient body of work exists to justify the efforts of external evaluators to review it, the person should not be up for review.

External evaluations, when deemed necessary, must meet the criteria set forth in Section 3.7 of this book. At least five arm's-length external evaluations of the individual's research record are normally required.

The presence of a few research papers in the dossier of a faculty member whose assignment consists solely of clinical teaching and service does not create a need for external evaluation of research. In such cases evaluators can provide little useful information. However, in some cases, depending on the TIU's requirements for promotion, external evaluation of clinical work and professional service may be appropriate.

5.2 Regular research track

Revised: 04/01/07

Edited: 08/01/07

RRT faculty who have not collected and maintained the documentation necessary to support a fully informed evaluation should be informed that promotion will be considered only when sufficient documentation has been accumulated.

5.2.1 Levels of review

Revised: 04/01/07

Edited: 08/01/07

The only promotion cases forwarded to OAA for review on the university-level are those for which the dean recommends positively. The dean's decision is final for cases in which promotion is denied.

5.2.2 Documentation of teaching and service

Revised: 04/01/07

Edited: 08/01/07

Normally RRT faculty members conduct research, but do not teach; documentation of teaching is therefore not generally expected. Documentation of service is required only if the faculty member has significant service responsibilities.

5.2.3 Documentation of research: external evaluation

Revised: 04/01/07

Edited: 08/01/07

External evaluations are required for RRT faculty promotion reviews since research is an expectation of the position.

External evaluations must meet the criteria set forth in Section 3.7 of this book. At least five arm's-length external evaluations of the individual's research record are normally required.

6.0 Procedures for auxiliary faculty

Revised: 04/01/07

Edited: 08/01/07

Auxiliary faculty who have not collected and maintained the documentation necessary to support a fully informed evaluation should be informed that promotion will be considered only when sufficient documentation has been accumulated.

6.1 Levels of review

Revised: 04/01/07

Edited: 08/01/07

A negative recommendation at any level means that the final decision is negative and the case does not go forward.

If the TIU head makes a negative recommendation, the decision is negative.

If the TIU head makes a positive recommendation and the dean makes a negative recommendation, the decision is negative.

6.2 Documentation of teaching and service

Revised: 04/01/07

Edited: 08/01/07

6.2.1 Auxiliary clinical faculty

Revised: 04/01/07

Edited: 08/01/07

Documentation should match that required by the academic unit for RCT faculty.

6.2.2 Auxiliary with regular titles below 50% and adjunct faculty

Revised: 04/01/07

Edited: 08/01/07

Documentation should match that required by the academic unit for RTT faculty.

6.2.3 Cleveland Clinic faculty

Revised: 04/01/07

Edited: 08/01/07

Documentation should match that required by the academic unit for RTT or RCT faculty, depending on the type of appointment.

6.3 Documentation of research: external evaluation

Revised: 04/01/07

Edited: 08/01/07

External evaluations are optional for auxiliary faculty unless research is an expectation of the position. If research is an expectation of the position but an insufficient body of work exists to justify the efforts of external evaluators to review it, the person should not be up for review.

Auxiliary with regular titles below 50% and Adjunct faculty: external evaluations of research are normally required since these faculty members must normally meet the same criteria for promotion as RTT faculty.

External evaluations, when deemed necessary, must meet the criteria set forth in Section 3.7 of this book. At least five arm's-length external evaluations of the individual's research record are normally required.

The presence of a few research papers in the dossier of a faculty member whose assignment consists solely of teaching and service does not create a need for external evaluation of research. In such cases evaluators can provide little useful information. However, depending on the TIU's requirements for promotion, in some cases external evaluations of clinical work and professional service may be appropriate.

7.0 Approved exceptions

Revised: 3/25/04

Edited: 08/01/07

OAA approved exceptions to the P&T rules, as set forth in Faculty Rules Chapter 3335-6 (<http://trustees.osu.edu/ChapIndex/index.php>).

7.1 College of Medicine

Revised: 3/25/04

Edited: 08/01/07

The College of Medicine makes the following exceptions for RTT probationary faculty with substantial clinical service responsibilities:

- The maximum probationary period for assistant professors is 11 years rather than six years with mandatory review for promotion and tenure in the 11th year.
- The maximum probationary period for associate professors hired without tenure is six years rather than four with mandatory review for tenure in the final year of the probationary period approved for a particular faculty member in the letter of offer.
- Promotion to the rank of associate professor without the simultaneous award of tenure may take place subject to the existence of OAA approved criteria for this action at both the unit and college level. Faculty who are promoted without the award of tenure must be considered for tenure no later than the mandatory review date or six years following promotion, whichever comes first.

7.2 University Libraries

Revised: 3/25/04

Edited: 08/01/07

University Libraries may allow a P&T committee that is not a committee of all eligible faculty members to make recommendations to the director regarding P&T cases.

7.3 University Extension in College of Food, Agricultural, and Environmental Sciences

Revised: 3/25/04

Edited: 08/01/07

University Extension may allow a P&T committee that is not a committee of all eligible faculty members to make recommendations to the chair regarding P&T cases.

Book 4 University Senate and Board Approved Policies

Conflict of Commitment Policy

Approved by the Board of Trustees 7/8/05

Edited 8/10/05

I. Preamble

Faculty at The Ohio State University accept an obligation to avoid conflicts of commitment in carrying out their university education, research, scholarship or service responsibilities. This policy is intended to assist faculty members, including administrators and staff with faculty appointments, in avoiding these conflicts and in finding a balance between activities that enhance the university's core purpose—to advance the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge—and those that detract from it.

II. State and Federal Laws and Regulations

Federal regulations require the university to adopt a policy governing conflicts of interest in research. In addition, faculty members should be aware that they are also subject to various provisions of Ohio law governing ethics and conflicts of interest in public employment. Additional information about the requirements of Ohio law may be obtained by consulting the Office of Legal Affairs.

III. Definition

For purposes of this policy, a conflict of commitment exists when external or other activities are so substantial or demanding as to interfere with the individual's teaching, research, scholarship or service responsibilities to the university or its students.

IV. Policy

Ohio State University full-time faculty members, including administrators with faculty appointments, owe their primary professional allegiance to the university, and their primary commitment of time and intellectual energies should be to the education, research, service and scholarship programs of the institution. The specific responsibilities and professional activities that constitute an appropriate and primary commitment will differ across schools and departments and will be based on academic practice and/or specific written agreement between the faculty member and his or her department chair and/or college dean.

Even with such understandings in place, however, attempts by faculty to balance university responsibilities with non-university related external activities can result in conflicts regarding allocation of professional time and energies. Conflicts of commitment usually involve issues of time allocation. For example, whenever a faculty member's outside consulting activities (as defined in the university's Policy on Paid External Consulting) exceed the permitted limits (normally one eight hour day per week or less, as may otherwise be established by formal college or departmental policy) or whenever a full-time faculty member's primary professional obligation is not to Ohio State, a conflict of commitment exists.

Faculty should disclose and discuss external commitments with their department chairs and/or deans. If an activity cannot be managed by the faculty member and his/her chair or dean to avoid a conflict of commitment or the reasonable appearance of a conflict of commitment, the faculty member must refrain from participating in the activity.

Examples of situations that, absent prior department or college review and approval, may create an actual or a perceived conflict of commitment are presented below. The examples are by no means exhaustive, and are provided only as samples of some commonly encountered situations.

- Teaching at another university during on-duty quarters in an academic year, or otherwise representing yourself as a faculty member of another university.
- Use of one's professional expertise during on-duty quarters in an academic year to provide services that compete with services provided by an academic or service entity within the university.
- Participating in private business activities to the detriment of your university education, research, scholarship or service responsibilities.
- Conducting research or novel scientific investigation as a private consultant to outside entities, which should be conducted more appropriately as research sponsored through The Ohio State University Research Foundation.

Failure to comply with this policy may result in administrative or disciplinary actions against the faculty or staff member in accordance with the procedures set forth in Faculty Rule 3335-5-04. If the conflict of commitment involves a research project administered by the university, whether or not that administration is through The Ohio State University Research Foundation, any action required by funding or regulatory agencies will also be taken. The procedures for reporting such conflicts and management plans shall be promulgated by the Office of Academic Affairs in consultation with the Conflict of Interest Policy Advisory Committee.

Financial Conflict of Interest Policy for Faculty

Approved by the Board of Trustees 7/10/98, Resolution No. 99-4

Revised by the Board of Trustees 3/2/07, Resolution No. 2007-100

I. Preamble

Faculty at The Ohio State University accept an obligation to avoid financial conflicts of interest in carrying out their professional work. This policy is intended to assist faculty members, including administrators with faculty appointments, in avoiding these conflicts. The patterns of administration of TIUs and colleges may include conflict of interest policies specific to their mission composition, and sources of funding.

II. State and Federal Laws and Regulations

Federal regulations require the university to adopt a policy governing conflicts of interest in research. In addition, faculty members should be aware that they are also subject to various provisions of Ohio law governing ethics and conflicts of interest in public employment. For example, as a general rule, a university employee may not have an interest in a contract involving the university. In addition, an employee may not use his or her authority or influence to obtain a contract between the university and a family member or business associate of the employee. A university employee may not accept compensation for the performance of his or her university duties from any person or entity other than the university. Finally, the Ohio Ethics Law prohibits university employees from accepting anything of value that will exert a substantial and improper influence upon them with respect to their university duties. Additional information about the requirements of Ohio law may be obtained by consulting the Office of Legal Affairs.

III. Policy and Advisory Committee

In consultation with the Executive Committee of Faculty Council, the provost shall appoint a Conflicts of Interest Policy Advisory Committee composed of a minimum of six members, two from colleges in the health sciences, two from colleges in the arts and sciences and two from professional colleges (Business; Education and Human Ecology; Engineering; Food, Agricultural and Environmental Sciences; Law; Social Work). This committee shall periodically review the operation of this policy and make recommendations for change as needed. In addition, the provost shall consult with the committee regarding particularly difficult or complicated conflict of interest situations.

IV. Definition

For purposes of this policy, a conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

V. Policy

Faculty members, including administrators with faculty appointments, are expected to review their professional activities to determine if conflicts of interest may exist, and to avoid activities that entail or create a conflict of interest.

If a faculty member is engaged in externally funded research, performs consulting, or has other business interests that may create conflicts of interest, the faculty member shall report and manage the activity in a

way that will avoid any conflict. The procedures for reporting and managing such activities shall be promulgated by the Office of Academic Affairs in consultation with the Conflict of Interest Policy Advisory Committee. If the activity cannot be managed to avoid the conflict, the faculty member must refrain from participating in the activity. Examples of situations that might entail or create a conflict of interest are presented below. The examples are by no means exhaustive, and are provided only as samples of some commonly encountered situations.

- Having significant involvement and/or financial interest in an entity that does business with the university.
- Participation in research that is funded by an entity in which the faculty member or the faculty member's family is involved or hold a significant financial interest.
- Entering into consulting agreements that purport to transfer to a private entity intellectual property that belongs to the university. (See the university's Policy on Patents and Copyrights for further detail.)
- Use of one's professional expertise to provide services that compete with services provided by an academic entity within the university.

The university encourages faculty authorship of instructional materials and does not discourage the use of such materials in courses in the faculty member's department. However, every academic unit should establish a policy appropriate to its circumstances that ensures that instructional materials are selected on their academic merit and also ensures that there is no significant conflict of interest or appearance of conflict of interest in the selection of such materials.

This policy shall apply to ongoing and future activities, research grants, projects or programs but not to completed purchases, past transactions or past research grants. The latter are subject to applicable university policies in place at the time these activities were undertaken.

Failure to comply with this policy may result in the filing of a complaint against the faculty member under Faculty Rule 3335-5-04. If the conflict of interest involves a research project administered by the university, whether or not that administration is through the Ohio State University Research Foundation, any action legally required by the funding agency will also be taken.

Paid External Consulting Policy

Approved by the University Senate 04/04/98

I. Preamble

Participation by faculty members of The Ohio State University in activities of government, in industry and in other private institutions generally serves the academic interests of the university. As a result of such activities, the people of Ohio benefit from the dissemination of knowledge and technology developed within the university and students benefit from experiences faculty bring to the classroom. Moreover, the professional experience and recognition that such participation brings to the faculty member is shared indirectly by the university. The patterns of administration of TIUs, colleges, and university offices may discuss in greater detail the relation of such participation to the missions of those units.

The purpose of this policy is to establish guidelines and reporting requirements for paid consulting, external to the university, that is undertaken by faculty members, including administrators with faculty appointments, and that is related to their areas of professional expertise. The following activities are not subject to this policy's guidelines and reporting requirements:

- 1) External professional activities that reflect normal and expected public service activities of faculty and that do not entail compensation beyond reimbursement for expenses and/or a nominal honorarium. These activities include service to governmental agencies and boards such as peer review panels and advisory bodies to other universities; presentations to either professional or public audiences in such forums as professional societies, libraries, and other universities; and peer review activities undertaken for either for-profit or nonprofit publishers.
- 2) Health care activities that are explicitly covered by approved practice plans.

II. Policy

Faculty members, including administrators with faculty appointments, are encouraged to engage in paid external consulting to the extent that these activities are clearly related to the mission of the university and the expertise of the faculty member, provide direct or indirect benefits to the university, and do not entail a conflict of interest as defined in the Conflict of Interest Policy.

As a general rule, the proportion of a faculty member's professional effort devoted to consulting should not exceed one business day per week. Prior approval must be obtained as outlined in the procedures below. Faculty members should avoid any conflict or appearance of conflict between consulting and university responsibilities. In particular, the disruption of formal instructional activities because of consulting must be avoided. Consulting during off-duty quarters is not subject to time limitations. Under Ohio law, the university owns any intellectual property that is a "product of university research" as defined in Section B of the Policy on Patents and Copyrights. The external consulting policy applies to faculty members from the initial date of employment, including during off-duty quarters, until the date of resignation. When consulting, faculty members must not assign to other entities the rights to a product of university research. Before signing a consulting agreement that requires assignment of intellectual property rights, a faculty member should contact the Office of Technology Transfer to determine the applicability of the Policy on Patents and Copyrights.

Faculty may not, in connection with paid external consulting, use the university name or the fact that they are affiliated with the university, in a manner that:

- 1) Suggests that the university approves or disapproves of a product or service provided by a profit, non-profit or governmental entity; or
- 2) Suggests that the university has performed research or issued research findings when it has not done so, or misleadingly states the results of university research; or
- 3) May be interpreted to communicate the official position of the university on any issue of public interest.

Faculty may not use university letterhead in connection with paid external consulting, nor may they use university facilities and other resources to support consulting unless permission is obtained from the TIU chair and the university is appropriately compensated.

Faculty may not use university Institutional Reviews Boards, e.g., the Human Subjects Review Board, for research conducted as part of a consulting arrangement.

Faculty are personally responsible for any damages or claims for damages which may arise in connection with their consulting activities. The limited immunity conferred by Section 9.86 of the Ohio Revised Code does not apply to consulting.

III. Procedures

1) Reporting Requirements

a) Prior approval

A faculty member must complete the Paid External Consulting Approval Form for each consulting arrangement. These forms shall be filed with the TIU chair or, in the case of an administrator, with the individual to whom he or she reports. All paid external consulting related to one's area of expertise requires prior approval. If a faculty member engages in paid external consulting without first obtaining approval or participates in activities that have been disapproved, a complaint may be filed against the faculty member under Faculty Rule 3335-5-04.

If a proposed consulting arrangement causes or could be perceived to cause a potential conflict of interest, the faculty member must file a Conflict of Interest Form along with the Paid External Consulting Approval Form.

All absences from duty of one full business day or more resulting from consulting, and all absences resulting from consulting that cause a missed commitment such as a class, require the prior approval of the TIU chair or other unit administrator. The Human Resources Application for Leave Form is used for this purpose.

b) Timing of reporting

Some consulting arrangements are on-going whereas others occur at a specific moment in time. For on-going activities, a faculty member may complete a single Paid External Consulting Approval Form for that activity to cover the entire time during which the activity will take place, but not beyond the end of the fiscal year in which the form is filed. A new form is required if the activity continues into another fiscal year. Each non-continuing activity during a fiscal year

requires a separate form. These forms must be filed sufficiently in advance of the planned activity to permit time for a meaningful approval process including the development of a plan to manage any conflict of interest or other legal issues posed by the proposed activity.

c) Approval mechanism

The Paid External Consulting Approval Form must be approved by the tenure unit initiating unit chair and dean, or by a regional campus dean. In the case of administrators, the form must be approved by the person to whom he or she reports. A copy of the form shall be included in the faculty member's primary personnel file. If the TIU chair does not approve the proposed activity, the faculty member may appeal to the dean. If the dean does not approve the proposed activity, the faculty member may appeal to the provost. The provost's decision shall be final.

OAA Handbook
Book 5 Prototype Documents

Pattern of Administration

Appointments, Promotion, and Tenure Document

PATTERN OF ADMINISTRATION FOR THE DEPARTMENT OF XXX

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PATTERN OF ADMINISTRATION FOR THE DEPARTMENT OF XXX

INTRODUCTION

This document provides a brief description of the Department of XXX as well as a description of its policies and procedures. It supplements the Rules of the University Faculty, and other policies and procedures of the university to which the department and its faculty are subject. The latter rules, policies and procedures, and changes in them, take precedence over statements in this document.

This Pattern of Administration is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or reappointment of the department chair. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the college office and the Office of Academic Affairs.

DEPARTMENT MISSION

Include department mission statement

ACADEMIC RIGHTS AND RESPONSIBILITIES

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs website, www.oaa.osu.edu/acad_rts_respons.php.

FACULTY

Faculty Rule 3335-5-19 (www.trustees.osu.edu/ChapIndex/index.php) defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this department include regular faculty with compensated FTEs of at least 50% in the department. Auxiliary faculty, emeritus faculty, and regular faculty joint appointees with FTEs below 50% in this department may be invited to participate in discussions on nonpersonnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

The Department of XXX has a regular clinical track. Regular clinical track faculty titles will be assistant professor of clinical XXX, associate professor of clinical XXX, and professor of clinical XXX. Regular clinical track faculty may comprise no more than 40% of the total RTT faculty. Regular clinical track faculty may vote in all matters of department governance except tenure track promotion and tenure decisions.

The Department of XXX has a regular research track. Regular research track faculty titles will be research assistant professor of XXX, research associate professor of XXX, and research professor of XXX. Regular research track faculty may comprise no more than 20% of the tenure track faculty. Regular research track faculty may vote in all matters of department governance except tenure track promotion and tenure decisions and clinical track promotion decisions.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the Appointments, Promotion and Tenure document.

ORGANIZATION OF DEPARTMENT SERVICES AND STAFF

Include description of department offices, staff, and their functions

OVERVIEW OF DEPARTMENT ADMINISTRATION AND DECISION MAKING

Policy and program decisions are made in a number of ways: by the department faculty as a whole, by standing or special committees of the department, or by the chair. The nature and importance of any individual matter determine how it is addressed. Department governance proceeds on the general principle that the more important the matter to be decided, the more inclusive participation in decision making needs to be. Open discussions, both formal and informal, constitute the primary means of reaching decisions of central importance.

DEPARTMENT ADMINISTRATION

Chair

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35 (www.trustees.osu.edu/ChapIndex/index.php). This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule 3335-6 (www.trustees.osu.edu/ChapIndex/index.php), also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure.

Other responsibilities of the chair, not specifically noted elsewhere in this Pattern of Administration, are paraphrased and summarized below.

- To have general administrative responsibility for department programs, subject to the approval of the dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
- To evaluate and improve instructional and administrative processes on an ongoing basis; to promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.
- To evaluate faculty members annually in accordance with both university and department established criteria; to inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.
- To recommend appointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the dean of the college, in accordance with procedures set

forth in Faculty Rule 3335-6 (www.trustees.osu.edu/ChapIndex/index.php) and this department's Appointments, Promotion and Tenure document.

- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.

Day-to-day responsibility for specific matters may be delegated to others, but the chair retains final responsibility and authority for all matters covered by this Pattern, subject when relevant to the approval of the dean, Office of Academic Affairs, and Board of Trustees.

Operational efficiency requires that the chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, is most successful when all faculty members participate in discussing and deciding matters of importance. The chair will therefore consult with the faculty on all educational and academic policy issues and will respect the principle of majority rule. When a departure from majority rule is judged to be necessary, the chair will explain to the faculty the reasons for the departure, ideally before action is taken.

Committees

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The chair is an ex officio member of all department committees and may vote as a member on all committees except the Promotion and Tenure Committee.

Describe the department's committee structure.

FACULTY MEETINGS

The chair will provide to the faculty a schedule of department faculty meetings at the beginning of each academic term. The schedule will provide for at least one meeting per academic term and normally will provide for monthly meetings. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least seven days before the meeting, and to distribute the agenda by e-mail at least three business days before the meeting. A meeting of the department faculty will also be scheduled on written request of 25% of the department regular faculty. The chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. The chair will distribute minutes of faculty meetings to faculty by e-mail—within seven days of the meeting if possible. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

Special policies pertain to voting on personnel matters, and these are set forth in the department's Appointments, Promotion and Tenure document.

For purposes of discussing department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority of all faculty members eligible to vote.

Either the chair or one-third of all faculty members eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote,

a matter will be considered decided when a particular position is supported by at least 51% of all faculty members eligible to vote. Balloting will be conducted by mail or e-mail when necessary to assure maximum participation in voting.

When a matter must be decided and a simple majority of all faculty members eligible to vote cannot be achieved on behalf of any position, the chair will necessarily make the final decision.

The department accepts the fundamental importance of full and free discussion but also recognizes that such discussion can only be achieved in an atmosphere of mutual respect and civility. Normally department meetings will be conducted with no more formality than is needed to attain the goals of full and free discussion and the orderly conduct of business. However, Robert's Rules of Order will be invoked when more formality is needed to serve these goals.

DEPARTMENT FACULTY TEACHING LOAD POLICY

The university's policy with respect to faculty teaching load is set forth in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php). The information provided below supplements these policies.

Include department specific policies

POLICY ON FACULTY DUTIES AND RESPONSIBILITIES

The university's policy with respect to faculty duties and responsibilities is set forth in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php). The information provided below supplements these policies.

Include department specific policies

COURSE OFFERINGS AND TEACHING SCHEDULES

The department chair will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually. While every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students at times most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-17 (www.trustees.osu.edu/ChapIndex/index.php) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent quarter. Finally, to the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members across quarters of offering to assure that instructional expertise is always available for such courses.

ALLOCATION OF DEPARTMENT RESOURCES

The chair is responsible for the fiscal and academic health of the department and for assuring that all resources—fiscal, human, and physical—are allocated in a manner that will optimize achievement of department goals.

The chair will discuss the department budget at least annually with the faculty and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the chair.

Research space shall be allocated on the basis of research productivity including external funding and will be reallocated periodically as these faculty-specific variables change.

The allocation of office space will include considerations such as achieving proximity of faculty in subdisciplines and productivity and grouping staff functions to maximize efficiency.

The allocation of salary funds is discussed in the Appointments, Promotion and Tenure document.

Include department policies on the allocation of travel funds.

LEAVES AND ABSENCES

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php) and Office of Human Resources Policies and Procedures website, www.hr.osu.edu/policy/policyhome.htm. The information provided below supplements these policies.

Include department specific policies

Discretionary Absence

Faculty are expected to complete an Application for Leave form well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular quarter is substantial. Faculty Rules require that the Office of Academic Affairs approve any discretionary absence of ten or more days.

Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. For additional details see OHR Policy 6.27, www.hr.osu.edu/policy/index.aspx.

Unpaid Leaves of Absence

The university's policies with respect to unpaid leaves of absence (Policy 3.03) and entrepreneurial leaves of absence (Policy 3.04) are set forth in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php). The information provided below supplements these policies.

Include department specific policies

Special Research Assignments

Information on special research assignments is presented in Chapter 3 of the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php). The information provided below supplements these policies.

Untenured faculty will normally be provided an SRA during their probationary period. Reasonable efforts will be made to provide SRA opportunities to all productive faculty on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the department, and the need to assure that sufficient faculty are always present to carry out department work.

Include department specific policies

Faculty Professional Leave

Information on special research assignments is presented in Chapter 3 of the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php). The information provided below supplements these policies.

The chair's recommendation to the dean regarding an FPL proposal will be based on the quality of the proposal and its potential benefit to the department and to the faculty member as well as the ability of the department to accommodate the leave at the time requested.

Include department specific policies

SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY

The university's policies with respect to supplemental compensation and paid external consulting are set forth in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php). The information provided below supplements these policies.

This department adheres to these policies in every respect. In particular, this department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the department chair regardless of the source of compensation. External consulting must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined.

Faculty who fail to adhere to the university's policies on these matters, including seeking approval for external consulting, will be subject to disciplinary action.

Include department specific policies

FINANCIAL CONFLICTS OF INTEREST

The university's policy with respect to financial conflicts of interest is set forth in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php). A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

Faculty members are required to file conflict of interest screening forms annually and more often if prospective new activities pose the possibility of financial conflicts of interest. Faculty who fail to file such forms or to cooperate with university officials in the avoidance or management of potential conflicts will be subject to disciplinary action.

GRIEVANCE PROCEDURES

Members of the department with grievances should discuss them with the chair who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. Content below describes procedures for the review of specific types of complaints and grievances

Salary Grievances

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the chair. The faculty or staff member should provide documentation to support the complaint.

Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file a more formal salary appeal (see Chapter 8 of the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php).

Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact Consulting Services in the Office of Human Resources, www.hr.osu.edu/.

Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04 (www.trustees.osu.edu/ChapIndex/index.php).

Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05 (www.trustees.osu.edu/ChapIndex/index.php).

Sexual Harassment

The university's policy and procedures related to sexual harassment are set forth in OHR Policy 1.15 (www.hr.osu.edu/policy/index.aspx).

Student complaints

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the department chair, the chair will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not.

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct (www.oaa.osu.edu/coam/home.html and www.senate.osu.edu/COAMDuties.pdf).

The Code of Student Conduct is Faculty Rule 3335-23 ([www.trustees.osu.edu/Rules 23/index.html](http://www.trustees.osu.edu/Rules%2023/index.html)).

**APPOINTMENTS, PROMOTION, AND TENURE
CRITERIA AND PROCEDURES FOR THE DEPARTMENT OF XXX**

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APPOINTMENTS, PROMOTION, AND TENURE CRITERIA AND PROCEDURES FOR THE DEPARTMENT OF XXX

1 PREAMBLE

This document is a supplement to Chapter 6 of the Rules of the University Faculty (Additional Rules Concerning Tenure track Faculty Appointments, Reappointments, Promotion and Tenure (www.trustees.osu.edu/ChapIndex/index.php); the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews in Chapter 7 of the Office of Academic Affairs Policy and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php); and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the department chair.

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (www.trustees.osu.edu/ChapIndex/index.php) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule 3335-6-02 (www.trustees.osu.edu/ChapIndex/index.php) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

2 DEPARTMENT MISSION

Include department mission

3 APPOINTMENTS

3.1 CRITERIA

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's record to date in teaching, research and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department. The search is either cancelled or continued, as appropriate to the circumstances.

3.1.1 REGULAR TENURE TRACK FACULTY

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the doctoral degree have not been completed by the candidate at the time of appointment. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment.

When an instructor is promoted to the rank of assistant professor on receipt of the doctoral degree, prior service credit will be granted for time spent as an instructor unless the faculty member indicates in writing at the time of the promotion that he or she does not wish such credit. This written request must be forwarded to the Office of Academic Affairs through the dean of the college so that the tenure review schedule may be adjusted accordingly.

Assistant Professor. An earned doctorate is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Subcommittee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in teaching, research, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university cannot legally grant tenure in the absence of permanent residency.

3.1.2 REGULAR TENURE TRACK FACULTY—REGIONAL CAMPUS

As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria for appointment at the rank of assistant professor, Associate professor, or professor are similar to those for Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and quality.

3.1.3 REGULAR CLINICAL TRACK FACULTY

Appointment of regular clinical track faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to regular clinical track faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty

member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7 (www.trustees.osu.edu/ChapIndex/index.php).

Instructor-Clinical. Appointment is normally made at the rank of instructor-clinical only when the appointee has not obtained the required licensure/certification at the time of appointment. In such cases, if licensure/certification is not obtained by the beginning of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

Assistant Professor-Clinical. Appointment at the rank of assistant professor-clinical requires that the individual have the required licensure/certification in his or her specialty. Evidence of ability to teach is highly desirable.

Associate Professor-Clinical and Professor-Clinical. Appointment at the rank of associate professor-clinical or professor-clinical requires that the individual have the required licensure/certification in his/her specialty, and meet, at a minimum, the department's criteria—in teaching, professional practice and other service, and research—for promotion to these ranks.

3.1.4 REGULAR RESEARCH TRACK FACULTY

Appointment of regular research track faculty entails one- to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to regular research track faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335- (www.trustees.osu.edu/ChapIndex/index.php).

Research Assistant Professor. Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

Research Associate Professor and Research Professor. Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate and meet, at a minimum, the department's criteria for promotion to these ranks.

3.1.5 AUXILIARY FACULTY

Auxiliary appointments are made for no more than one year at a time.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to the department, such as teaching a course, for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of regular tenure track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure track faculty. In the event that the department wishes to compensate an adjunct faculty member for work other than the voluntary service for which the adjunct title is provided, a concurrent appointment of limited duration (lecturer, workshop leader) may be added for that purpose.

Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor. Auxiliary clinical appointments may either be compensated or not compensated. Auxiliary clinical rank is

determined by applying the criteria for appointment of regular clinical track faculty. Auxiliary clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular clinical track faculty.

Lecturer. Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure or promotion.

Senior Lecturer. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at regular titles is for individuals at 49% FTE or below, either compensated or uncompensated. The rank of auxiliary faculty with regular titles is determined by applying the criteria for appointment of regular tenure track faculty. Auxiliary faculty members with regular titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure track faculty.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from a regular academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non regular faculty) individuals are appointed is determined by applying the criteria for appointment of regular tenure track faculty. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

3.1.6 COURTESY APPOINTMENTS FOR REGULAR FACULTY

Occasionally the active academic involvement in this department by a regular faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this department. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

3.2 PROCEDURES

See Chapter 2 in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/OAAP_PHandbook.php) (http://oaa.osu.edu/OAAP_PHandbook.php) on the following topics:

- recruitment of regular tenure track, clinical track and research track faculty
- appointments at senior rank or with prior service credit
- hiring faculty from other institutions after April 30
- appointment of foreign nationals
- letters of offer

3.2.1 TENURE TRACK FACULTY

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure track positions. Exceptions to this policy must be requested from the Office of Academic Affairs. Search

procedures must be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches (www.hr.osu.edu/hrpubs/guidesearches.pdf).

Searches for tenure track faculty proceed as follows:

The dean of the college provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department.

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services (www.hr.osu.edu/) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The university cannot legally grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally circulated print journal.
- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the department office. If the faculty does not agree, the department chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the department chair; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their research, and teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the eligible voting faculty meet to discuss perceptions and preferences, and to vote on each candidate. In order for the vote to be valid, at least two-thirds of all

faculty members eligible to vote must vote either yes or no. Absentions are not votes. In order to extend an offer to a candidate, two-thirds of the yes or no votes cast must be positive. Absentee ballots are not permitted.

If the offer involves senior rank, the eligible voting faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. In both instances, two-thirds of the eligible faculty must vote yes or no, and of those votes two-thirds must be positive for the senior rank or prior service credit to be approved.

In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university cannot legally grant tenure in the absence of permanent residency status. The department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

3.2.2 TENURE TRACK FACULTY—REGIONAL CAMPUS

The regional campus has primary responsibility for determining the position description for a tenure track faculty search, but the dean/director or designee consults with the department chair to reach agreement on the description before the search begins. The regional campus search committee must include at least one representative from the department.

Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department Promotion and Tenure Committee, and regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the department chair and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the department chair and the regional campus dean.

3.2.3 REGULAR CLINICAL TRACK FACULTY

Searches for regular clinical track faculty generally proceed identically as for tenure track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical/professional practice rather than research.

Highly qualified regular clinical track candidates may occasionally be considered for appointment without a national search, only when there is a reasonable likelihood that a national search would not result in finding more highly qualified and/or more diverse candidates. The faculty must first approve the decision to interview a candidate without a national search. From that point, the on-campus interview and decision making processes are identical to those following a national search. The department chair determines the details of the offer, including the length of the initial contract.

3.2.4 REGULAR RESEARCH TRACK FACULTY

Searches for regular research track faculty generally proceed identically as for tenure track faculty, with the exception that during the on-campus interview the candidate is not asked to teach a class.

Highly qualified regular research track candidates may occasionally be considered for appointment without a national search, only when there is a reasonable likelihood that a national search would not result in finding more highly qualified and/or more diverse candidates. The faculty must first approve the decision to interview a candidate without a national search. From that point, the on-campus interview and decision making processes are identical to those following a national search. The department chair determines the details of the offer, including the length of the initial contract.

3.2.5 AUXILIARY FACULTY

The appointment, review, and reappointment of all compensated auxiliary faculty is decided by the department chair in consultation with the department Executive Committee.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a regular faculty meeting and if approved by the faculty, the department chair extends an offer.

Auxiliary appointments are generally made for a period of one year, unless a shorter period is appropriate to the circumstances. All auxiliary appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a quarter by quarter basis.

Auxiliary faculty for whom promotion is a possibility follow the promotion guidelines and procedures for regular faculty (see APPOINTMENT CRITERIA above), with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

3.2.6 COURTESY APPOINTMENTS FOR REGULAR FACULTY

Any department faculty member may propose a 0% FTE (courtesy) appointment for a regular faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the faculty, the department chair extends an offer of appointment. The department chair reviews all courtesy appointments annually to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

4 ANNUAL REVIEW PROCEDURES

The department follows the requirements for annual reviews as set forth in Chapter 6 in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php).

The annual reviews of every faculty member are based on expected performance in teaching, research, and service as set forth in the department's policy on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described under MERIT SALARY INCREASES below. This material must be submitted to the department chair no later than the final day of autumn quarter classes.

The department chair is required (per Faculty Rule 3335-3-35 (www.trustees.osu.edu/ChapIndex/index.php)) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04 (www.trustees.osu.edu/ChapIndex/index.php)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

4.1 PROBATIONARY TENURE TRACK FACULTY

Every probationary tenure track faculty member is reviewed annually by the Promotion and Tenure Committee (all tenured faculty of higher rank than the faculty member under review). On completion of the review, the faculty votes by written ballot on whether to renew the probationary appointment. In order for the vote to be valid, at least two-thirds of all faculty members eligible to vote must vote either yes or no. Absentions are not votes. In order for the recommendation to be considered positive, a simple majority of the yes or no votes must be positive.

The Promotion and Tenure Committee forwards a record of the vote and a written performance review to the department chair. The department chair conducts an independent assessment of performance; meets with the faculty member to discuss his or her performance and, as appropriate, future plans and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the department chair recommends nonrenewal, the formal comments process (per Faculty Rule 3335-6-04 (www.trustees.osu.edu/ChapIndex/index.php)) is invoked. This process is also described in the PROMOTION AND TENURE REVIEW PROCEDURES section of this document. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

4.1.1 PROBATIONARY TENURE TRACK FACULTY—REGIONAL CAMPUS

Annual review of the probationary faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the department and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the department, the department chair discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

4.1.2 FOURTH-YEAR REVIEW

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment. Since this department follows fourth-year review procedures for all annual reviews of probationary tenure track faculty, no modifications are required for the fourth-year. However, at the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04

(www.trustees.osu.edu/ChapIndex/index.php) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

4.1.3 EXCLUSION OF TIME FROM THE PROBATIONARY PERIOD

Faculty Rule 3335-6-03 (D) (www.trustees.osu.edu/ChapIndex/index.php) sets forth the conditions under which a probationary tenure track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/OAAP_PHandbook.php).

4.2 TENURED FACULTY

Associate professors are reviewed annually by the professors, who submit a written performance review to the department chair along with comments on the faculty member's progress toward promotion. The department chair conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the department chair. The review process includes a meeting if either the department chair or faculty member requests a meeting. On completion of the review, the department chair prepares a written assessment on the faculty member's performance and future plans and goals. The faculty member may provide written comments on the review.

4.3 TENURED FACULTY—REGIONAL CAMPUS

Annual review of the tenured faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the department and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the department, the department chair discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

4.4 REGULAR CLINICAL TRACK FACULTY

The annual review process for regular clinical track probationary and nonprobationary faculty is identical to that for tenure track probationary and tenured faculty respectively, except that nonprobationary regular clinical faculty may participate in the review of regular clinical faculty and regular research faculty of lower rank.

In the penultimate contract year of a regular clinical faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (www.trustees.osu.edu/ChapIndex/index.php) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of regular clinical track faculty. There is no presumption of renewal of contract.

4.5 REGULAR RESEARCH TRACK FACULTY

The annual review process for regular research track probationary and nonprobationary faculty is identical to that for tenure track probationary and tenured faculty, except that nonprobationary regular research faculty may participate in the review of regular research faculty of lower rank.

In the penultimate contract year of a regular research faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (www.trustees.osu.edu/ChapIndex/index.php) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of regular research track faculty. There is no presumption of renewal of contract.

5 MERIT SALARY INCREASES AND OTHER REWARDS

5.1 CRITERIA

Except when the university dictates any type of across the board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable.

On occasion, one time cash payments or other rewards, such as extra travel funds, are made to recognize non-continuing contributions that justify reward but do not justify permanent salary increases. Such payments/rewards are considered at the time of annual salary recommendations.

Meritorious performance in teaching, research, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

Faculty who fail to submit the required documentation for an annual review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

5.2 PROCEDURES

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. In formulating recommendations, the department chair consults with the department Executive Committee. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries.

5.3 DOCUMENTATION

The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the department chair no later than the final day of autumn quarter classes.

- updated CV, which will be made available to all faculty in an accessible place
- updated Office of Academic Affairs dossier outline, Chapter 7 (http://oaa.osu.edu/OAAP_PHandbook.php)

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.

Under no circumstances should faculty solicit evaluations from any party for purposes of the annual review, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

The time period covered by the documentation described below is the previous 12 months.

5.3.1 TEACHING

- Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the university Registrar) for every class taught.
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provided in the Appendix to this document).
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review.
- Other relevant documentation of teaching as appropriate.

5.3.2 RESEARCH

- Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form with no further revisions needed.
- Documentation of grants and contracts received.
- Other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted).

5.3.3 SERVICE

- Any available documentation of the quality of service that enhances the list of service activities in the dossier.

6 PROMOTION AND TENURE AND PROMOTION REVIEWS

6.1 CRITERIA

Faculty Rule 3335-6-02 (www.trustees.osu.edu/ChapIndex/index.php) provides the following context for promotion and tenure and promotion reviews:

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

6.1.1 PROMOTION TO ASSOCIATE PROFESSOR WITH TENURE

Faculty Rule 3335-6-02 (www.trustees.osu.edu/ChapIndex/index.php) provides the following general criteria for promotion to associate professor with tenure:

The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high-quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

Tenure is not awarded below the rank of associate professor at The Ohio State University.

The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the department's academic mission at a high level for the duration of their time at the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching, research, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics (www.aaup.org/statements/Redbook/Rbethics.htm).

The content of the following sections is obviously not appropriate for all disciplines, but is nevertheless provided in order to demonstrate the requisite level of specificity. The department should strive for an equivalent or greater level of detail in adapting the suggested content to its particular needs.

The accomplishments listed below in the areas of teaching, research, and service are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

6.1.1.1 TEACHING

For promotion to associate professor with tenure, a faculty member is expected to have:

- provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge
- demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm
- demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment
- engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process
- provided appropriate and timely feedback to students throughout the instructional process
- treated students with respect and courtesy
- improved curriculum through revision or new development of courses and/or academic programs
- served as advisor to an appropriate number of graduate students given the department's graduate student/faculty ratio and the faculty member's area(s) of expertise
- engaged in documentable efforts to improve teaching

6.1.1.2 RESEARCH

For promotion to associate professor with tenure, a faculty member is expected to have:

- Published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
 - quality, impact, quantity

- unique contribution to a line of inquiry or repackaging of earlier work
 - Rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published research more than unpublished research, and original works more than edited works.
 - empirical work, demonstrating the candidate's ability to conduct such work and to mentor future researchers, is preferred to synthetic work at this stage of career
 - While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- A demonstrated ability to obtain and potential to sustain research program funding. Competitive peer-reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.
 - A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.
 - Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

6.1.1.3 SERVICE

For promotion to associate professor with tenure, a faculty member is expected to have:

- made substantive contributions to the governance of the department in a manner that facilitates positive contributions by others
- demonstrated the potential for useful contributions to the profession

6.1.2 PROMOTION TO PROFESSOR

Faculty Rule 3335-6-02 (www.trustees.osu.edu/ChapIndex/index.php) establishes the following general criteria for promotion to the rank of professor:

Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.

For promotion to professor, a faculty member is expected to be a role model for senior faculty, for students, and for the profession. Assessment takes place in relation to specific assigned responsibilities, with exceptional performance in these required responsibilities. The specific criteria in teaching, research, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and increasing quality of contributions, a

record of continuing professional growth, and evidence of established national and international reputation in the field.

In the evaluation of untenured professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

6.1.3 REGIONAL CAMPUS FACULTY

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the quality of teaching and service relative to research. Recognizing that the character and quantity of research by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the department nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

6.1.4 REGULAR CLINICAL TRACK FACULTY

Promotion to Assistant Professor-Clinical. For promotion to assistant professor-clinical, a faculty member must meet the required licensure/certification in his or her specialty and be performing satisfactorily in teaching, professional practice, and service.

Promotion to Associate Professor-Clinical. For promotion to associate professor-clinical, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this department. Specific criteria in teaching and service for promotion to associate professor-clinical are similar to those for promotion to associate professor with tenure. Research activity is not expected.

Promotion to Professor-Clinical. For promotion to professor-clinical, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

6.1.5 REGULAR RESEARCH TRACK FACULTY

Promotion to Research Associate Professor. For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous peer reviewed funding is required along with evidence of a growing national reputation.

Promotion to Research Professor. For promotion to research professor, a faculty member must have a national and international reputation built on an extensive body of high-quality publications and with demonstrated impact on the field. A record of continuous peer-reviewed funding is required, along with demonstrated research productivity as a result of such funding.

6.2 PROCEDURES

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (www.trustees.osu.edu/ChapIndex/index.php) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews (http://oaa.osu.edu/OAAP_PHandbook.php). The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks in the department.

6.2.1 CANDIDATE RESPONSIBILITIES

Submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

If external evaluations are required: to review, upon request by the department chair, the list of potential external evaluators developed by the department chair and the Promotion and Tenure Subcommittee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see EXTERNAL EVALUATIONS below.)

6.2.2 PROMOTION AND TENURE SUBCOMMITTEE RESPONSIBILITIES

The department has a Promotion and Tenure Subcommittee, normally consisting of three professors and two associate professors. The committee's chair and membership are appointed by the department chair. The term of service is three years, with reappointment possible. The responsibilities of the Promotion and Tenure Subcommittee are as follows:

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring quarter, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the subcommittee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The subcommittee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member who requests and is denied a promotion review for three consecutive years must be granted the review in the fourth year per Faculty Rule 3335-6-04 (www.trustees.osu.edu/ChapIndex/index.php). If the three denials are based on lack of required documentation and the faculty member insists that the review go forward in the fourth year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - Consistent with Office of Academic Affairs policy, only faculty who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The subcommittee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent

resident (has a "green card"). Faculty not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.

- A decision by the subcommittee to permit a review to take place in no way commits the Promotion and Tenure Committee, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn quarter, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the department chair.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
 - Draft an analysis of the candidate's performance in teaching, research and service to provide to the full Promotion and Tenure Committee with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The subcommittee neither votes on cases nor takes a position in presenting its analysis of the record.
 - Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
 - Provide a written response, on behalf of the Promotion and Tenure Committee, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure initiating unit is another department. The full Promotion and Tenure Committee does not vote on these cases since the department's recommendation must be provided to the other tenure initiating unit substantially earlier than the Committee begins meeting on this department's cases.

6.2.3 PROMOTION AND TENURE COMMITTEE RESPONSIBILITIES

Except as noted below, the Promotion and Tenure Committee pertinent to making recommendations on the:

- tenure or promotion of tenure track faculty consists of all tenured faculty of higher rank than the candidate
- reappointment, contract renewal, and promotion of regular clinical track faculty consists of all tenured faculty and nonprobationary regular clinical track faculty of higher rank than the candidate
- reappointment, contract renewal, and promotion of regular research track faculty consists of all tenured faculty, nonprobationary regular clinical track faculty of higher rank than the candidate and nonprobationary regular research track faculty of higher rank than the candidate

The department chair, college dean, college associate and assistant deans, vice provosts, provost, and president may not be members of the department's Promotion and Tenure Committee. The department chair may attend meetings at which promotion and tenure matters are discussed and may respond to questions, but may not vote.

The responsibilities of the members of the Promotion and Tenure Committee are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all Promotion and Tenure Committee meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote. A minimum of two-thirds of the members of the Promotion and Tenure Committee must be present and vote yes or no on a case for the vote to be valid. Abstentions are not votes. Two-thirds of yes and no votes must be yes for a vote to be considered positive. Absentee voting is not permitted.

6.2.4 DEPARTMENT CHAIR RESPONSIBILITIES

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure may not be awarded as the result of a mandatory review until permanent residency status is established. Faculty not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Quarter:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Subcommittee, the chair and the candidate. (Also see EXTERNAL EVALUATIONS below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the Promotion and Tenure Committee at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the Promotion and Tenure Committee from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review. A conflict of interest exists when a Promotion and Tenure Committee member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional

relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate.

- **Mid-Autumn Quarter:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the Promotion and Tenure Committee's completed evaluation and recommendation.
- To meet with the Promotion and Tenure Committee to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the Promotion and Tenure Committee and department chair
 - of the availability for review of the written evaluations by the Promotion and Tenure Committee and department chair
 - Of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.

To provide a written response to any candidate comments that warrants response for inclusion in the dossier.

To forward the completed dossier to the college office by that office's deadline, except in the case of auxiliary faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.

To receive the Promotion and Tenure Subcommittee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

6.2.5 PROCEDURES FOR REGIONAL CAMPUS FACULTY

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The regional campus review focuses on teaching and service.

The regional campus dean/director forwards the written evaluation and recommendation of the regional campus review to the department chair, from which point the review follows the procedures described for the Columbus campus faculty.

6.2.6 EXTERNAL EVALUATIONS

External evaluations of research and scholarly activity are obtained for all promotion reviews in which research must be assessed. These include all tenure track promotion and tenure or promotion reviews, all

regular research track contract renewal and promotion reviews, and all adjunct faculty promotion reviews.

External evaluations are optional in other reviews and will be obtained as needed. When obtained, they should meet the criteria described below.

A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's research (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters are sought as are required, and they are solicited no later than the end of the spring quarter prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Subcommittee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04 (www.trustees.osu.edu/ChapIndex/index.php) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the Office of Academic Affairs suggested format, provided at (http://oaa.osu.edu/OAAP_PHandbook.php), for letters requesting external evaluations.

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

6.3 DOCUMENTATION

As noted above under CANDIDATE RESPONSIBILITIES, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and

Tenure Subcommittee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier, including the documentation of teaching noted below, is forwarded when the review moves beyond the department. The documentation of research and service noted below is for use during the department review only, unless reviewers at the college and university levels specifically request it.

- Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

6.3.1 TEACHING

For the time period since the last promotion or the last five years, whichever is less:

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provided in the Appendix to this document)
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- other relevant documentation of teaching as appropriate

6.3.2 RESEARCH

For the time period since the last promotion:

- Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- documentation of grants and contracts received
- other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)

6.3.3 SERVICE

For the time period since the last promotion:

- any available documentation of the quality of service that enhances the list of service activities in the dossier

7 APPEALS

Faculty Rule 3335-6-05 (www.trustees.osu.edu/ChapIndex/index.php) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (www.trustees.osu.edu/ChapIndex/index.php).

Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty member is required to document the failure of one or more parties to the review process to follow written policies and procedures.

8 SEVENTH-YEAR REVIEWS

Faculty Rule 3335-6-05 (www.trustees.osu.edu/ChapIndex/index.php) sets forth the conditions of and procedures for a Seventh Year Review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

9 APPENDIX: PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

9.1 STUDENT EVALUATION OF TEACHING

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in this department. Faculty should choose a day late in the quarter when attendance is likely to be high to distribute the form. A graduate teaching associate, staff member, or other faculty member should administer the evaluation forms to the class and return them to the Office of the University Registrar as instructed. This individual should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation.

9.2 PEER EVALUATION OF TEACHING

The department chair oversees the department's peer evaluation of teaching process.

Annually the department chair appoints a Peer Review of Teaching Committee of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The responsibilities of the Peer Review of Teaching Committee are as follows:

- to review the teaching of probationary tenure track and regular clinical track faculty at least once per quarter during the first two years of service, and at least twice per year during the remainder of the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the course of each probationary year
- to review the teaching of tenured associate professors and nonprobationary associate professors-clinical at least once per year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a three year period

- to review the teaching of tenured professors and nonprobationary professors-clinical at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the Office of Faculty and TA Development (www.ftad.osu.edu).

Reviews conducted upon the request of the department chair or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member.

Regularly scheduled peer teaching evaluation (the first three situations listed above) is comprehensive and includes, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Classroom visitation is conducted by two or more committee members attending together and is unannounced. However, at the beginning of the quarter, the committee will request from the faculty member a list of dates on which visitation would be inappropriate because exams are being given, guest speakers are scheduled, etc.

Peer review focuses particularly on aspects of teaching that students are less qualified than faculty to evaluate, such as appropriateness of curricular choices given the goals of the course (survey as opposed to required major course), implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. As part of its evaluation the committee examines copies of the faculty member's SEI summaries from recent years, and where student opinion is mixed to negative, the committee attempts to ascertain the reasons. In so doing, members are to bear in mind that they have observed only one or a few classes out of the quarter, and moreover have a very different level of knowledge compared to students. Consequently their assessment may differ considerably from that of the majority of students.

At the conclusion of the review, the committee submits a written report to the department chair, copied to the faculty member. The faculty member may provide written comments on this report and the committee may respond in writing to those comments if it wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests that the comments be excluded.

Regularly scheduled reviews are both summative and formative (they provide both an assessment of the faculty member's teaching for use in annual and promotion reviews, and advice to improve the faculty member's teaching).

The effectiveness of the peer teaching evaluation procedures outlined above would be strengthened if the department developed worksheets for use in evaluating the various aspects of instruction. The Office of Faculty and TA Development (www.ftad.osu.edu) offers assistance in such endeavors.

OAA Handbook

Book 6 Sample Documents

Letter of Offer

- Assistant Professor
- Associate Professor/Professor with Tenure
- Associate Professor/Professor without Tenure
- Assistant Professor with Prior Service Credit
- Assistant Professor at a Regional Campus
- Instructor
- Regular Clinical Track
- Regular Research Track
- Visiting Faculty
- Auxiliary Clinical Faculty
- Regular Title <50% FTE

Promotion and Tenure Dossier

- External Letter
- External Letter: Research Collaborator
- Summary of Department Teaching Evaluations

**SAMPLE LETTER OF OFFER:
ASSISTANT PROFESSOR**

May 15, 2007

John Doe, Ph.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed at the rank of assistant professor with a base salary of \$32,040 for the nine-month academic year, and you will be paid in 12 equal monthly installments.

This is a regular tenure-eligible position. The appointment is probationary and you will be reviewed annually at which time you will be informed as to whether your appointment will be reviewed. You will be reviewed for tenure and promotion no later than the sixth year of your appointment, in 2013-14. Tenure and promotion are granted after approval by the Board of Trustees following review at the TIU (tenure initiating unit), college, and university levels and a favorable recommendation by the provost to the president and the Board. Enclosed is a copy of our department's promotion and tenure policies.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may involve introductory, intermediate, or advanced courses as the demands of course registration and scheduling may require, and are made by the department chair in consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

The Office of Academic Affairs Handbook can be found at http://oaa.osu.edu/OAAP_PHandbook.php and provides sources of important information for faculty.

Include personalizing closing

**SAMPLE LETTER OF OFFER:
ASSOCIATE PROFESSOR/PROFESSOR WITH TENURE**

May 15, 2007

Jane Doe, Ph.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed at the rank of associate professor with a base salary of \$32,040 for the nine-month academic year, and you will be paid in 12 equal monthly installments. Your appointment as associate professor will carry tenure beginning with the date of appointment.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, nie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may involve introductory, intermediate, or advanced courses as the demands of course

registration and scheduling may require, and are made by the department chair in consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

The Office of Academic Affairs Handbook can be found at http://oaa.osu.edu/OAAP_PHandbook.php and provides sources of important information for faculty.

Include personalizing closing

**SAMPLE LETTER OF OFFER:
ASSOCIATE PROFESSOR/PROFESSOR WITHOUT TENURE**

May 15, 2007

Jane Doe, Ph.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed at the rank of professor with a base salary of \$32,040 for the nine-month academic year, and you will be paid in 12 equal monthly installments.

This is a regular tenure-eligible position. The Office of Academic Affairs has approved a 4 year probationary period. This means that you will be reviewed for tenure no later than the 4th year of your appointment, in 2010-11. Tenure is granted after approval by the Board of Trustees following review at the TIU (tenure initiating unit), college, and university levels and a favorable recommendation by the provost to the president and Board. Enclosed is a copy of our department's promotion and tenure policies.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may involve introductory, intermediate, or advanced courses as the demands of course registration and scheduling may require, and are made by the department chair in consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

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The Office of Academic Affairs Handbook can be found at http://oaa.osu.edu/OAAP_PHandbook.php and provides sources of important information for faculty.

Include personalizing closing

**SAMPLE LETTER OF OFFER:
ASSISTANT PROFESSOR WITH PRIOR SERVICE CREDIT**

May 15, 2007

John Doe, Ph.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed at the rank of assistant professor with a base salary of \$32,040 for the nine-month academic year, and you will be paid in 12 equal monthly installments.

This is a regular tenure-eligible position. The Office of Academic Affairs has approved three years of prior service credit. The appointment is probationary and you will be reviewed annually at which time you will be informed as to whether your appointment will be renewed. Normally an assistant professor is reviewed for tenure and promotion during the sixth year of service unless the faculty member's accomplishments warrant earlier review. Because you've been awarded three years of prior service credit, you will be reviewed for tenure no later than during the third year of your appointment, in 2009-10. Promotion and tenure are granted after approval by the Board of Trustees following review at the TIU (tenure initiating unit), college, and university levels and a favorable recommendation by the provost to the president and Board. Enclosed is a copy of the department's promotion and tenure policies.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oe@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may involve introductory, intermediate, or advanced courses as the demands of course registration and scheduling may require, and are made by the department chair in consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

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Include personalizing closing

**SAMPLE LETTER OF OFFER:
ASSISTANT PROFESSOR AT A REGIONAL CAMPUS**

May 15, 2007

Jane Doe, Ph.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed at the rank of assistant professor with a base salary of \$32,040 for the nine-month academic year, and you will be paid in 12 equal monthly installments.

This is a regular tenure-eligible position. The appointment is probationary and you will be reviewed annually at which time you will be informed as to whether your appointment will be renewed. You will be reviewed for tenure no later than during the sixth year of your appointment, in 2012-13. Promotion and tenure are granted after approval by the Board of Trustees following review at the regional campus, TIU (tenure initiating unit), college, and university levels and a favorable recommendation by the provost to the president and Board. Enclosed are copies of the promotion and tenure policies of the department and of the regional campus.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may involve introductory, intermediate, or advanced courses as the demands of course registration and scheduling may require, and are made by the department chair in consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

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Include personalizing closing

**SAMPLE LETTER OF OFFER:
INSTRUCTOR**

May 15, 2007

John Doe
123 American Way
Anytown, OH 12345

Dear Mr. Doe:

Include personalizing comments and welcome

You will be appointed at the rank of assistant professor with a base salary of \$32,040 for the nine-month academic year, and you will be paid in 12 equal monthly installments.

This is a regular tenure-eligible position. The appointment is probationary and you will be reviewed annually at which time you will be informed as to whether your appointment will be renewed. You will be reviewed for tenure and promotion no later than the sixth year of your appointment, in 2012-13. Tenure and promotion are granted after approval by the Board of Trustees following review at the TIU (tenure initiating unit), college, and university levels and a favorable recommendation by the provost to the president and Board. Enclosed is a copy of our department's promotion and tenure policies.

This offer is contingent upon completion of the Ph.D. degree by the beginning of autumn quarter 2007. If you do not complete all requirements for the degree by that time you will be appointed as an instructor and your base salary will be reduced by 10%. As soon as you receive your Ph.D. degree, we will recommend promotion to the rank of assistant professor effective with the beginning of the next academic quarter. You must complete all requirements for the Ph.D. degree by the October 1, 2009, and be promoted to the rank of assistant professor, or your appointment will not be renewed beyond June 30, 2010. If, on promotion to assistant professor, you have completed two or more quarters of service as an instructor, you will have the option of restarting your tenure clock.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may involve introductory, intermediate, or advanced courses as the demands of course registration and scheduling may require, and are made by the department chair in consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

The Office of Academic Affairs Handbook can be found at http://oaa.osu.edu/OAAP_PHandbook.php and provides sources of important information for faculty.

Include personalizing closing

**SAMPLE LETTER OF OFFER:
REGULAR CLINICAL TRACK**

May 15, 2007

Jane Doe, M.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed to a faculty position with the title of Assistant Professor of Clinical XXX. Your annual salary will be \$32,040 and will be paid in 12 equal monthly installments. Your term of appointment will be for five years.

During the first term of appointment to the regular clinical track, you will be reviewed annually and informed as to whether your appointment will be renewed. During the penultimate year of your appointment, in 2010-11, a more formal review will be conducted and you will be informed if your appointment is to be renewed for another term. A formal review will be conducted in the penultimate year of each successive term to determine whether another appointment will be offered. Regular clinical track faculty members are not eligible for tenure. Enclosed is a copy of our department's policies regarding reappointment and promotion of regular clinical track faculty.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oiie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Include information on clinical responsibilities and teaching and service expectations

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

The Office of Academic Affairs Handbook can be found at http://oaa.osu.edu/OAAP_PHandbook.php and provides sources of important information for faculty.

Include personalizing closing

**SAMPLE LETTER OF OFFER:
REGULAR RESEARCH TRACK**

May 15, 2007

Jane Doe, M.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed to a faculty position with the title of Research Assistant Professor of XXX. Your annual salary will be \$32,040 and will be paid in 12 equal monthly installments. Your term of appointment will be for five years.

During the first term of appointment to the regular research track, you will be reviewed annually and informed as to whether your appointment will be renewed. During the penultimate year of your appointment, in 2010-11, a more formal review will be conducted and you will be informed if your appointment is to be renewed for another term. A formal review will be conducted in the penultimate year of each successive term to determine whether another appointment will be offered. Regular research track faculty members are not eligible for tenure. Enclosed is a copy of our department's policies regarding reappointment and promotion of regular research track faculty.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Include information on research expectations

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

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Include personalizing closing

**SAMPLE LETTER OF OFFER:
VISITING FACULTY**

May 15, 2007

Jane Doe, Ph.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed with the title of Visiting Associate Professor with a salary of \$30,040, payable in nine monthly installments. The appointment will commence on October 1, 2007, and will end on June 30, 2008. The appointment carries no presumption of academic tenure or reappointment beyond the period stated above. Visiting appointments are renewable up to a total of three years on an annual reappointment basis.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oiie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may

involve introductory, intermediate, or advanced courses as the demands of course registration and scheduling may require, and are made by the department chair in consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

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Include personalizing closing

**SAMPLE LETTER OF OFFER:
AUXILIARY CLINICAL FACULTY**

May 15, 2007

John Doe, M.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed with the title of Clinical Associate Professor of XXX with a salary of \$30,040, payable in twelve monthly installments. The appointment will commence on July 1, 2007, and will end on June 30, 2008. The appointment carries no presumption of academic tenure or reappointment beyond the period stated above.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, oiie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Include information on clinical responsibilities and teaching expectations

Include any special arrangements or commitments

*(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

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Include personalizing closing

**SAMPLE LETTER OF OFFER:
REGULAR TITLE <50% FTE**

May 15, 2007

Jane Doe, Ph.D.
123 American Way
Anytown, OH 12345

Dear Dr. Doe:

Include personalizing comments and welcome

You will be appointed at the rank of assistant professor at 45% FTE with a salary of \$30,040, payable in twelve monthly installments. The appointment will commence on July 1, 2007, and will end on June 30, 2008. The appointment carries no presumption of academic tenure or reappointment beyond the period stated above.

This appointment is subject to the approval of the Board of Trustees and your employment is subject to all rules, regulations, and policies of the university and to the availability of funds.

The university is required by federal law to verify the identity and work authorization of all new employees. Accordingly, this offer is contingent upon such verification. You will be asked by a representative of this department to complete the Form I-9 (Employment Eligibility Verification form) no later than your first day of work.

If you are not presently authorized to work at The Ohio State University, it is important that you inform our department of any special circumstances or concerns as soon as possible. The Office of International Education (OIE), at (614) 292-6101, nie@osu.edu, will assist us with immigration processing as needed. This department must make the first contact with OIE before you can receive immigration guidance.

In accordance with the Ohio Revised Code (ORC), sections 2909.33 and 2909.34, final candidates must receive a copy of the Terrorist Exclusion List (TEL) and must complete the Declaration Regarding Material Assistance/Non-assistance to Terrorist Organizations (DMA) form. Please complete and submit the DMA form prior to your first day of employment.

Ohio State faculty and staff are covered by the Ohio Ethics Law for public officials and state employees, and accordingly must receive and acknowledge a copy of this legislation which is enclosed. Please acknowledge receipt.

Each faculty member is expected to perform over the full range of responsibilities: teaching, research, and service. Teaching assignments in the department may involve introductory, intermediate, or advanced courses as the demands of course registration and scheduling may require, and are made by the department chair in

consultation with the faculty. We expect that you will embark on an active program of research and that you will actively seek resources from outside the university to support your research program.

The normal teaching responsibility is two courses per quarter; however, the number of courses taught may vary from year to year depending on the needs of the department and may vary under the terms of the department's Policy on Faculty Duties and Responsibilities.

*Include any special arrangements or commitments
(office and laboratory space, equipment and operating expenses,
practice plan information, moving expenses, grant expectations)*

Employees at Ohio State participate in the state retirement system. Enclosed is the Human Resources form concerning your employment in a job not covered by Social Security. This form must be signed and returned to the department.

Information about benefits at Ohio State can be found at www.hr.osu.edu/policy/empben/bluebook.pdf. Questions concerning benefits should be directed to the Office of Human Resources Customer Service Center at service@hr.osu.edu or (614) 292-1050, 1-800-678-6010, TDD 688-3730, FAX (614) 292-6235.

The Office of Academic Affairs Handbook can be found at http://oaa.osu.edu/OAAP_PHandbook.php and provides sources of important information for faculty.

Include personalizing closing

SAMPLE LETTER TO AN EXTERNAL EVALUATOR

The format of the sample letter is not required, merely suggested. Modifications may be needed to reflect variations across the university based on the type of scholarly activity.

If a unit wishes to use a different format or to seek different information, it should fully consider both how evaluators are likely to respond to such a request, given the time provided to respond and the Public Records Act, and how much information the evaluator has on which to base the requested assessment.

The Department of XXX is considering Dr. Doe for promotion to the rank of associate professor with tenure [professor]. Dr. Doe's performance in teaching, research and service will be evaluated at the department, college and University levels to determine whether promotion and tenure [promotion] will be granted. I am asking you only to provide a critical assessment of Dr. Doe's research.

Enclosed you will find a copy of Dr. Doe's curriculum vitae and copies of the following papers:

Would you please comment in some detail on the significance of the overall research program as well as on individual papers, including the scientific merit of the work, its originality, and its impact on the field of study? In addition, how would you compare Dr. Doe to other researchers in this field at the same stage of career development?

Please don't comment on whether Dr. Doe should be promoted and tenured [promoted] at Ohio State or would or would not be promoted and tenured [promoted] at your institution. We must make this assessment based on the total record, not just on research, and on our own criteria and standards.

Under the Ohio Public Records Act all documents related to P & T reviews, including letters of evaluation, are public records. Thus we cannot promise confidentiality.

Thank you for your time and effort in responding to this request. If for any reason you will not be able to evaluate this candidate or if you have any questions about this process, please contact me at [phone number/email address] immediately. I would appreciate receiving your response by [date].

**SAMPLE LETTER:
RESEARCH COLLABORATOR**

No university rule or policy requires that a dossier contain letters from research collaborators attesting to the nature of a candidate's contribution to jointly authored work. If a TIU wishes to obtain such letters, however, a request of the type below must be used to solicit them.

Dr. Doe is being considered for promotion to the rank of associate professor with tenure (professor). You have collaborated with Dr. Doe on the following papers: (list papers)

Would you please comment on the specific contributions you and Dr. Doe made to the research reported in these papers as well as the writing of the papers themselves?

Please note that we are not asking you to evaluate this or any other research conducted by Dr. Doe or to comment on whether Dr. Doe should or should not be promoted. We are seeking broader evaluations of Dr. Doe's work from individuals who have not been collaborators.

SAMPLE SUMMARY OF DEPARTMENTAL TEACHING EVALUATIONS

PROF. J. DOE

SUMMARY OF DEPARTMENTAL TEACHING EVALUATIONS

RATING SCALE: 1 (Strongly disagree) – 5 (Strongly agree)

GENERAL STUDIES 100: ADVENTURES OF IDEAS

	WI98	SP99	AU00	WI01	AU01
Students enrolled	121	117	110	125	115
Evaluations completed	97	95	89	96	90
Departmental Questionnaire					
1 Knowledge of subject	4.7	4.5	4.4	4.4	4.4
2 Ability to communicate subject	4.3	4.9	4.2	4.9	4.5
3 Clearly communicated expectations	4.2	4.6	4.4	4.7	4.3
4 Returned assignments promptly	4.4	4.5	4.5	4.4	4.4
5 Fairly evaluated tests & assignments	4.6	4.3	4.1	4.0	4.2
6 Encouraged independent thinking	4.5	4.6	4.7	4.5	4.6
7 [etc]					

GENERAL STUDIES 200: INTRODUCTION TO CRITICAL THINKING

	AU99	AU00	AU01
Students enrolled	75	80	80
Evaluations completed	67	70	68
Departmental Questionnaire			
1 Knowledge of subject	4.5	4.6	4.6
2 Ability to communicate subject	4.4	4.4	4.5
3 Clearly communicated expectations	4.7	4.6	4.7
4 Returned assignments promptly	4.3	4.4	4.4
5 Fairly evaluated tests & assignments	4.5	4.5	4.5
6 Encouraged independent thinking	4.8	4.7	4.7
7 [etc]			

OAA Handbook

Book 7 Forms

Full Time Faculty Paid External Consulting Approval Form

Promotion and Tenure

Nonrenewal of Probationary Appointment

College Level Review

Comments, by Candidate at College Level

Comments, by Candidate at TIU Level

Comments, by Dean

Comments, by TIU Head

Courses and Clinical Instruction

Dossier Checklist

External Evaluator

Final Checklist by College

TIU Voting Record

Record of Review for Promotion

Summary for External Evaluators

Summary for Non-Responding External Evaluators

Report on Candidates

FULLTIME FACULTY PAID EXTERNAL CONSULTING APPROVAL FORM**PROFESSIONAL ACTIVITIES REQUIRING APPROVAL ON THIS FORM**

- All outside compensated consulting arrangements related to a faculty member's professional expertise, including those undertaken during off duty quarters.

Approval of consulting activities to be carried out during off-duty quarters will be based solely on considerations of conflict of interest, patents and copyrights, and use of university facilities.

PROFESSIONAL ACTIVITIES NOT REQUIRING APPROVAL ON THIS FORM

- Providing health care services explicitly authorized by approved practice plans.
- Outside professional activities reflecting normal and expected public and professional service by faculty.

For further information refer to The Ohio State University Policy on Paid External Consulting.

University Extension faculty should refer to the OSU Extension Consulting and Conflict of Interest Policy Statement:
<http://ag.ohio-state.edu/~hrteam/>

- If assistance is needed in determining whether this form should be used for a proposed activity, consult first with the department chair and dean, and, if assistance is still needed, with the Office of Academic Affairs.

APPROVAL SIGNATURES ON P. 2 ARE REQUIRED BEFORE YOU MAY UNDERTAKE THE ACTIVITY

Name _____ Home dept _____ College _____ Reg. Campus _____

Person, firm or agency receiving services _____

Describe services to be provided:

Date(s) on which service will be provided _____ (do not cross fiscal years)

Hours to be spent providing service: Weekly _____ Annual total _____ (per fiscal year)

During on-duty quarters, no more than one business day per week on average may be spent on the combination of paid external consulting activities and university appointments for which supplemental compensation is received. Faculty should avoid any conflict or appearance of conflict between such activities and primary university responsibilities.

I understand that while providing authorized external consulting services I remain responsible for the performance of all of my assigned duties and responsibilities within the university.

Faculty Signature _____ Date _____

Does your consulting agreement require you to assign intellectual property to the entity for which you are providing services? ☐ Yes ☐ No

If yes, please attach a copy of the intellectual property provision in the agreement.

The Ohio State University Policy on Patents and Copyrights requires faculty to report inventions or discoveries made in the course of their university employment to the Office of Technology Transfer. This policy applies to all research conducted by faculty in their area of expertise, including research performed during off-duty quarters.

Consulting agreements sometimes require faculty to assign intellectual property rights to the firm receiving consulting services. These provisions should be narrowly drawn to apply only to the specific question, issue or problem which is the subject of the consulting agreement. Intellectual property assignments which purport to convey general and unrestricted rights to inventions or discoveries made by a faculty member are inconsistent with the Policy on Patents and Copyrights. Consulting arrangements which include such provisions will not be approved.

USE OF UNIVERSITY FACILITIES

Will university facilities be used in connection with consulting services? ____Yes ____No

If yes, describe required space, services, equipment and supplies:

Fees to be paid to the university for the use of:

Space \$_____ Equipment \$_____ Services \$_____ Supplies \$_____

Use of facilities approved by department chair _____ Date _____

FINANCIAL CONFLICTS OF INTEREST

The Ohio State University Financial Conflict of Interest Policy for Faculty applies to all outside professional arrangements including those performed during off-duty quarters. A Conflict of Interest Screening Form must be attached to this form unless one has already been filed within this fiscal year that covers this proposed activity.

A Conflict of Interest Screening Form is attached: ____Yes ____No

APPROVAL OF THE PERSONS LISTED BELOW IS REQUIRED BEFORE FACULTY MAY UNDERTAKE OUTSIDE CONSULTING ACTIVITY RELATED TO THEIR AREA OF PROFESSIONAL EXPERTISE

Date

Regional campus dean (if applicable) _____

OR

Department chair _____

AND

Dean _____

It is the responsibility of the regional campus office OR college office to:

- notify the faculty member in writing of the approval or disapproval of the request;
- send a copy of the form to the tenure initiating unit chair for inclusion in the faculty member's personnel file;
- retain the signed original in the regional campus office OR college office .

Nonrenewal of Probationary Appointment
(regular tenure track, clinical track, or research track faculty);
or **Denial of Tenure** (tenure track faculty only)

☐ Tenure track ☐ Clinical track ☐ Research track Review completed _____ [month/year]

Last Name _____ First Name _____ Emplid _____

TIU _____ TIU org # _____ College _____ Campus _____

A letter communicating the nonrenewal or tenure denial decision to the candidate must be sent in accordance with the **standards of notice** required by **Faculty Rule 3335-6-08**.

- 1) Not later than March first of the first academic year of probationary service, if the appointment expires at the end of that year; or if a one-year appointment expires during an academic year, at least three months in advance of its expiration;
- 2) Not later than December fifteenth of the second academic year of probationary service, if the appointment expires at the end of that year; or if an appointment expires during the second academic year, at least six months in advance of its expiration; and
- 3) At least twelve months before the expiration of an appointment after two or more years in the institution.

Please submit a copy of the letter accompanied by this form to the Office of Academic Affairs no later than June 1 of the year in which the decision occurs.

This letter, which may come from either the TIU head or the college/regional campus dean, must state the **mandatory termination date**, which is normally June 30 for faculty with two or more years of service. Regardless of hire date, the final pay-out is normally effective June 30 both for 9-month and 12-month faculty.

The above-named has been informed in writing [COPY ATTACHED] that his/her appointment will not be renewed beyond June 30, 20____
[or other date if applicable: _____, 20____].

SIGNATURES

TIU Head _____ Date _____

Regional campus dean _____ Date _____

College dean _____ Date _____

COLLEGE-LEVEL REVIEW

I verify the following:

This review was based on performance and was free of bias against underrepresented groups.

The college level review of this candidate was conducted in full accordance with the appointments, promotion, and tenure (APT) document of the college, and the latter document was made available to the college P&T committee as part of the review.

The report of the college P&T committee adequately explains the bases for its judgment and for differing with TIU assessments where such differences exist.

*The dossier fulfills all requirements stated in the **Dossier Outline**, with special attention to the points noted above, including all those affirmed by the candidate and by the TIU Procedures Oversight Designee.*

NUMERICAL VOTING RECORD IN THE COLLEGE

THE INFORMATION BELOW IS REQUIRED IN THE OFFICIAL RECORD FOR EVERY REVIEW, EVEN WHEN THE VOTE IS UNANIMOUSLY POSITIVE.

_____ Number of **YES** votes on this case.

_____ Number of **NO** votes on this case.

_____ Number of Abstentions on this case.

Note: Abstentions are not votes per the Office of Academic Affairs' guidelines for APT documents and consistent with Robert's Rules of Order.

I understand that if the college reviews and forwards to the Office of Academic Affairs a dossier lacking key information and/or containing less than credible external evaluation, the review process may have to begin anew.

College Procedures Oversight Designee _____ **(print)**

Signature _____ **Date** _____

Comments Form (by candidate re the college)

- ☐ The candidate has chosen not to respond to the college review.
- ☐ The candidate has chosen to respond to the college review. The comments follow:

Signature

Date

Comments Form (by candidate re the TIU)

- ☐ The candidate has chosen not to respond to the TIU deliberative body.
- ☐ The candidate has chosen to respond to the TIU deliberative body. The comments follow:

Signature

Date

Comments Form (by college re the candidate)

- ☐ The college has chosen not to respond to comments by the candidate.
- ☐ The college has chosen to respond to comments of the candidate. The comments follow:

Signature

Date

Comments Form (by TIU re the candidate)

- ☐ The TIU deliberative body has chosen not to respond to the comments of the candidate.
- ☐ The TIU deliberative body has chosen to respond to the comments of the candidate. The comments follow:

Signature

Date

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COURSES AND CLINICAL INSTRUCTION FOR _____

UNDERGRADUATE, GRADUATE AND PROFESSIONAL

Quarter/Year	Course Number, Title, Credit Hours	Enrollment	% of Course Taught	Explanation (if not 100%)	Formal Course Evaluations	
					Student	Other

Office of Academic Affairs Courses and Clinical Instruction Form, Rev. 05/07

Form 8

[illegible][illegible]

Promotion and Tenure/Promotion Dossier Checklist

Candidate _____
(Print name)

STUDENT EVALUATION OF TEACHING Required Documentation

- Included for every course taught in the past five years or since date of hire, if less than five years ago
- Correctly placed in dossier
 - *Item 6*—summary tables
 - *Appendix*—individual course fixed-response reports

RESEARCH Required Presentation

- Authors in *Item 12* are listed:
 - in the order in which they appear on each publication
 - in the standard citation style for my discipline
- Multiple authorship in *Item 12* for jointly authored papers, in *Item 16* for research grants, includes:
 - narrative description of my intellectual contribution

I have followed the examples of narrative description provided in the Dossier Outline. I understand that statements such as "all authors contributed equally" or "50% effort" do NOT constitute adequate narrative description of intellectual contribution.

I have prepared my dossier in accordance with the **2007-08 Dossier Outline issued May 2007**, and it fulfills all requirements, with special attention to those noted above.

I understand that the review process cannot commence until I have submitted a correctly prepared dossier, and that if substantive errors or omissions are discovered at any stage of the process, the dossier will be returned to me for revision.

Signature of candidate _____ Date _____

TIU-LEVEL REVIEW

Internal Evaluation

Annual reviews as required by the Dossier Outline are included in Part II.A.6. If the set of annual review letters is incomplete, a written explanation is provided.

- Untenured candidates—all annual review letters since date of hire
- Tenured candidates—all annual review letters since last Ohio State promotion or year of hire with tenure, not to exceed the most recent five years

Documentation of peer evaluation of teaching (letters, reports, etc.) as required by the unit's APT document are included in Part II.A.7.

External Evaluation

External letters (where required)

- No more than one-half from persons suggested by the candidate
- None from former Ph.D. or post-doc advisors; collaborators; or those who otherwise have a relationship with the candidate that could reasonably interfere with objective evaluation

External evaluation summary sheet

- All persons who were asked to write are listed, including those who were asked but did not write (the latter clearly indicated): Reviewer's name; institution; nominated by; and relationship to candidate, for letters received and letters not received by—see the following forms.

External evaluation cover page

- A cover page precedes every letter received
 - Do NOT include a cover page for evaluators from whom no letter was received
 - Every item on the cover page is filled out and includes sufficient information to establish the evaluator's:
 - Credibility
 - Relationship with candidate

I verify the following:

SUMMARY FORM FOR EXTERNAL EVALUATORS

Candidate: _____

Department/College: _____

Evaluator	Institution	Suggested by	Relationship to Candidate

SUMMARY FORM FOR NON-RESPONDING EXTERNAL EVALUATORS

Candidate: _____

Department/College: _____

Evaluator	Institution	Suggested by	Relationship to Candidate

This review was based on performance and was free of bias against underrepresented groups. The tenure initiating unit (TIU) level review of this candidate was conducted in full accordance with the unit's Appointments, Promotion, and Tenure (APT) document, and the latter document was made available to the TIU deliberative body as part of the review.

All candidates were treated consistently during this year's review process. A written rationale for any apparent inconsistency* is provided when clear and defensible bases exist for such differences.

*Examples: When neither of two candidates for promotion to professor has advised doctoral students, but one is criticized on this point and the other is not. When neither of two candidates for promotion has a book in contract, but one is criticized on this point and the other is not.

The report of the TIU deliberative body contains:

- Detailed assessment of the candidate's accomplishments, strengths, and weaknesses
- Explanation of the expectations of the unit against which the candidate is being assessed.
 - Otherwise the expectations of the unit must be explained in the letter by the TIU Head or Regional Campus deliberative body or Regional Campus Dean.

The dossier fulfills all requirements stated in the **Dossier Outline**, with special attention to the points noted above, including all those affirmed by the candidate.

It is particularly important to check for fulfillment of the requirement for narrative description of intellectual contribution to jointly offered papers and grants. Some candidates sign the checklist indicating that this requirement has been fulfilled when it has not, and the omission goes unnoticed by some Procedures Oversight Designees and other reviewers.

I (or the person named here) : _____) verified the accuracy of all citations.

NUMERICAL VOTING RECORD IN THE TENURE INITIATING UNIT

The information below is required in the official record for every review, even when the vote is unanimously positive.

- _____ Total faculty *eligible to vote* on this case, e.g., the total number of tenured associate plus full professors, or total number of full professors.
- _____ Total faculty participating in the meeting discussing this case.
- _____ Number of YES votes on this case.
- _____ Number of NO votes on this case.
- _____ Number of faculty attending the meeting abstaining.
- _____ Number of combined YES plus NO votes on this case.
- _____ Percentage of YES votes from combined YES plus NO votes on this case.
- _____ Percentage of YES votes required by the TIU's APT document (e.g., 51% or 67%) in order for its recommendation to be considered **positive**.

Note: Abstentions are not votes per the Office of Academic Affairs' guidelines for APT documents and consistent with Robert's Rules of Order.

I understand that if the tenure initiating unit reviews and forwards a dossier lacking key information and/or containing less than credible external evaluation, the review process may have to begin anew.

TIU* Procedures Oversight Designee _____
(Print name)

Signature _____ Date _____

**The Procedures Oversight Designee in colleges without departments should sign above rather than below since these colleges serve as the TIU for their faculty.*

COLLEGE-LEVEL REVIEW

I verify the following:

This review was based on performance and was free of bias against underrepresented groups.

The college level review APT document of the college, and the latter document was made available to the college P&T committee as part of the review.

The report of the college P&T committee adequately explains the bases for its judgment and for differing with TIU assessments where such differences exist.

*The dossier fulfills all requirements stated in the **Dossier Outline**, with special attention to the points noted above, including all those affirmed by the candidate and by the TIU Procedures Oversight Designee.*

NUMERICAL VOTING RECORD IN THE COLLEGE

The information below is required in the official record for every review, even when the vote is unanimously positive.

_____ Number of YES votes on this case.

_____ Number of NO votes on this case.

_____ Number of Abstentions on this case.

Note: Abstentions are not votes per the Office of Academic Affairs' guidelines for APT documents and consistent with Robert's Rules of Order.

I understand that if the college reviews and forwards a dossier to the Office of Academic Affairs that lacks key information and/or containing less than credible external evaluation, the review process may have to begin anew.

College Procedures Oversight Designee _____
(Print name)

Signature _____ Date _____

FINAL CHECK OF DOSSIER CONTENTS
by College Office Staff Member

- Record of review signed by regional campus dean; TIU head; college dean (as applicable)
- Dossier checklist [this document] signed by candidate; Procedures Oversight Designee for TIU (or college without departments); Procedures Oversight Designee for college with departments; college office staff member performing final check

PART I: INTRODUCTION

- Biographical statement of candidate

PART II: EVALUATION

II. A. Internal Evaluation Letters

Every item in Part II. A. should be preceded by a plain page noting the item that follows.

- Regional campus faculty deliberative body, if applicable [otherwise no "N/A" page]
- Regional campus dean, if applicable [otherwise no "N/A" page]
- TIU (or college without departments) faculty deliberative body
- TIU head
- Head(s) of unit(s) in which the candidate has split FTE appointments, if applicable
- TIU-level comments process letters or notation that the candidate declined to provide comments
- College (with departments) P&T committee
- College dean
- College-level comments process letters or notation that the candidate declined to provide comments
- TIU annual review letters as required by dossier outline, with written explanation if set is incomplete
- Fourth-year Review letter to the probationary faculty member
- Documentation of peer evaluation of teaching (letters, reports, etc.) as required by APT document of TIU

II. B. External Evaluation

- Summary sheet of all evaluators from whom a letter was requested, indicating those from whom no letter was received.
- Letters from at least five (5) external evaluators, consistent with list on summary sheet, with each letter preceded by a complete cover sheet. Do NOT include a cover sheet for evaluators from whom no letter was received.

Appendix

- Individual course fixed-response course student evaluation reports are included in *Appendix*—not in *Item 6* of the Core Dossier, which should contain only summary tables.

I have reviewed the contents of this dossier as summarized above and verify that all required material is included and located in the correct section of the dossier in accordance with the **Dossier Outline**. I understand that if any substantive omissions are discovered when the dossier is reviewed in the Office of Academic Affairs, the dossier will be returned to the college office for correction before the review may continue.

This dossier contains no extraneous material (i.e., not specifically requested in the Dossier Outline), such as articles, book reviews, news clippings, unsolicited letters, etc. **Any material of this kind that was examined during the TIU- or college-level review must be removed before the dossier is forwarded to the Office of Academic Affairs.**

College office staff member doing final check:

(Print name)

Signature

Date _____

EXTERNAL EVALUATOR FORM

Candidate

Evaluator

Title/Rank

Institutional Affiliation

Complete Address of Evaluator

Qualifications as an Evaluator

(PROVIDE DETAIL SUFFICIENT TO ESTABLISH THE EVALUATOR'S CREDIBILITY)

Relationship to candidate:

Evaluator suggested by:

___ Candidate ___ Department Chair ___ P&T Committee ___ Other [specify]

FINAL CHECK OF DOSSIER CONTENTS

by College Office Staff Member

- **Record of review** signed by regional campus dean; TIU head; college dean (as applicable)
- **Dossier checklist** [this document] signed by candidate; Procedures Oversight Designee for TIU (or college without departments); Procedures Oversight Designee for college with departments; college office staff member performing final check

PART I: INTRODUCTION

- **Biographical statement** of candidate

PART II: EVALUATION

II.A. Internal Evaluation Letters

Every item in Part II.A. should be preceded by a plain page noting the item that follows.

- **Regional campus faculty deliberative body**, if applicable [otherwise no "N/A" page]
 - **Regional campus dean**, if applicable [otherwise no "N/A" page]
- **TIU (or college without departments) faculty deliberative body**
- **TIU head**
- **Head(s) of unit(s) in which the candidate has split FTE appointments**, if applicable
- **TIU-level comments process** letters or notation that the candidate declined to provide comments
- **College (with departments) P&T committee**
- **College dean**
- **College-level comments process** letters or notation that the candidate declined to provide comments
- **TIU annual review letters** as required by dossier outline, with written explanation if set is incomplete
- Fourth-year review letter to the probationary faculty member
- **Documentation of peer evaluation of teaching (letters, reports, etc.)** as required by A, P & T document of TIU

II.B. External Evaluation

- **Summary sheet** of all evaluators from whom a letter was requested, indicating those from whom no letter was received.
- **Letters from at least five (5) external evaluators**, consistent with list on summary sheet, with each letter preceded by a **complete cover sheet**. Do NOT include a cover sheet for evaluators from whom no letter was received. (Summary Forms)

APPENDIX

- **Individual course fixed-response course student evaluation reports** are included in *Appendix*—not in *Item 6* of the Core Dossier, which should contain only summary tables.

*I have reviewed the contents of this dossier as summarized above and verify that all required material is included and located in the correct section of the dossier in accordance with the **Dossier Outline**. I understand that if any substantive omissions are discovered when the dossier is reviewed in the Office of Academic Affairs, the dossier will be returned to the college office for correction before the review may continue.*

This dossier contains no extraneous material (i.e. not specifically requested in the Dossier Outline), such as articles, book reviews, news clippings, unsolicited letters, etc. ANY MATERIAL OF THIS KIND THAT WAS EXAMINED DURING THE TIU- OR COLLEGE-LEVEL REVIEW MUST BE REMOVED BEFORE THE DOSSIER IS FORWARDED TO THE OFFICE OF ACADEMIC AFFAIRS.

College office staff member doing final check:

Print Name

Date _____

Signature

NUMERICAL VOTING RECORD IN THE TENURE INITIATING UNIT

THE INFORMATION BELOW IS REQUIRED IN THE OFFICIAL RECORD FOR EVERY REVIEW, EVEN WHEN THE VOTE IS UNANIMOUSLY POSITIVE.

_____ Total faculty *eligible to vote* on this case, e.g., total number of tenured associate plus full professors, or total number of full professors.

_____ Total faculty participating in the meeting discussing this case.

_____ Number of YES votes on this case.

_____ Number of NO votes on this case.

_____ Number of faculty attending the meeting abstaining.

_____ Number of combined YES plus NO votes on this case.

_____ Percentage of YES votes from combined YES plus NO votes on this case.

_____ Percentage of YES votes required by the TIU's APT document (e.g., 51% or 67%) in order for its recommendation to be considered **POSITIVE**.

Note: Abstentions are not votes per the Office of Academic Affairs' guidelines for APT documents and consistent with Robert's Rules of Order.

I understand that if the tenure initiating unit reviews and forwards a dossier lacking key information and/or containing less than credible external evaluation, the review process may have to begin anew.

TIU* Procedures Oversight Designee _____ (print)

Signature _____ **Date** _____

**The Procedures Oversight Designee in colleges without departments should sign above rather than below since these colleges serve as the TIU for their faculty.*

RECORD OF REVIEW FOR PROMOTION IN ACADEMIC RANK-TENURE-REAPPOINTMENT

Last Name _____ First Name _____ M.I. _____

OSU Emplid _____ College _____ Regional Campus _____

TIU (Tenure Initiating Unit) _____ TIU Org # _____

☐ U.S. Citizen ☐ Foreign national with permanent resident status ("green card")—**copy attached**☐ Applied for permanent residency on _____ (Form I-485 receipt date)—**copy attached**☐ H-1B Temporary Worker Visa valid until _____ (expir. date)—**copy of approval notice attached**☐ Other (**copies of immigration documents attached**)**100% FTE**List below joint appts (split FTE) or appt in TIU under 100% FTE:
TIU Org # _____ TIU Name _____

FTE _____

_____A letter from the head of each joint (split FTE) appt unit (**excluding 0% courtesy appts**) must be included in the dossier.**REGULAR FACULTY TRACK**☐ Tenure ☐ Clinical ☐ Research**AUXILIARY**☐ Auxiliary clinical ☐ Cleveland Clinic ☐ Reg title under 50% FTE ☐ Adjunct**ACTION CONSIDERED**REG TENURE TRACK ☐ Promotion only ☐ Promotion & Tenure ☐ Tenure onlyREG CLINICAL TRACK ☐ Promotion only ☐ Promotion & Reappt ☐ Reappt onlyREG RESEARCH TRACK ☐ Promotion only ☐ Promotion & Reappt ☐ Reappt onlyAUXILIARY APPOINTMENT ☐ Promotion only**Effective date for all approved actions is October 1** (except August 16 for the College of Law)**NEW RANK IF PROMOTION ACTION IS APPROVED**☐ Professor ☐ Associate Professor ☐ Assistant Professor

Date of initial faculty appointment* at Ohio State _____

*Current faculty status in the case of transfer to or from regular tenure, clinical, research track or auxiliary appointment.

Date of last reappointment [contract renewal] _____ [reg clinical or research track faculty only]

Yrs Excluded per Fac. Rule 3335-6-03 ☐ Yrs Prior Svc Credit ☐ [probationary tenure track faculty only]Last **approved** P&T action _____ Effective date _____Last **non-approved** P&T recommendation _____ Review year _____
(Does not include voluntary withdrawal from review process)**RECOMMEND****DO NOT RECOMMEND**

Regional Campus Dean _____

TIU Head [chair/director] _____

Dean _____

_____ Signature_____

_____ Signature_____

_____ Signature

SUMMARY FORM FOR EXTERNAL EVALUATORS

Candidate: _____

Department/College: _____

Evaluator	Institution	Suggested by	Relationship to candidate

SUMMARY FORM FOR NON-RESPONDING EVALUATORS

Candidate: _____

Department/College: _____

Evaluator	Institution	Suggested by	Relationship to candidate

REPORT ON CANDIDATES CONSIDERED FOR PROMOTION/TENURE/REAPPOINTMENT

College submits 1 copy per TIU, listing all candidates in TIU and for each candidate, the **Recommendation*** at each level of review.

***Follow TIU and college policy in determining what constitutes a negative vote (e.g., tie, split).**

College _____ TIU _____ TIU Org # _____

Procedures Oversight Designee: College POD _____ TIU POD _____

For regional campus faculty, note campus beside name.

Last Name, First Name	Current Rank	Check If Tenured	Check Action(s) Considered				Recommendation* [Y/N]				
			Promo	Tenure	Reappt (RCT only)	4th Yr (coll w/o depts only)	Reg Camp Dean	TIU P&T	TIU Head	Coll P&T	Coll Dean
Regular Tenure Track											
Regular Clinical Track (RCT)											
Auxiliary Faculty											
Cleveland Clinic Faculty											

OAA Handbook

Appendices

Chart of Faculty Appointment Types

Common Abbreviations Used in This Document

Faculty Appointment Types

Appointment Type		Faculty Type (per Fac Rules)	Rank	Title	Job Code
Regular (continuing)	Probationary or Tenured	[Reg] Tenure Track 50-100% FTE	Instructor, Assistant Professor, Associate Professor, Professor	Instr, Asst Prof, Assoc Prof, Prof	5120, 0918, 2320, 6640 (the only NON-unique job codes)
	Probationary or Reappointed (3-5 year contract)	[Reg] Clinical Track 1-100% FTE		Instr of Clinical [...], Asst Prof of Clinical [...], Assoc Prof of Clinical [...], Professor of Clinical [...]	5126, 0935, 2337, 6681
	Probationary or Reappointed (1-5 year contract)	[Reg Research Track, 1-100% FTE	Assistant Professor, Associate Professor or Professor	Research Asst Prof of [...], Research Assoc Prof of [...], Research Prof of [...]	7191, 7192, 7193
Auxiliary [non-continuing]	Appointments must be renewed annually or quarterly, etc (Term = 1 yr or more; Temp = under 1 year)	[Aux] Regular Title 0-49% FTE	Instructor, Assistant Professor, Associate Professor, Professor	Instr, Asst Prof, Assoc Prof, Prof	5120, 0918, 2320, 6640 (the only NON-unique job codes)
		[Aux] Clinical 0-100% FTE		Clinical Instr, Clinical Asst Prof, Clinical Assoc Prof, Clinical Prof	3180, 3160, 3170, 3210
		[Aux] Adjunct 0% FTE		Adjunct Instr, Adjunct Asst Prof, Adjunct Assoc Prof, Adjunct Prof	0195, 0185, 0190, 0200
		[Aux] Visiting Benefits Eligible 1-100% FTE		Visiting Instr-BE, Visiting Asst Prof-BE, Visiting Assoc Prof-BE, Visiting Prof-BE	8875, 8581, 8601, 8646
		[Aux] Visiting 0-100% FTE		Visiting Instr, Visiting Asst Prof, Visiting Assoc Prof, Visiting Prof	8570, 8580, 8600, 8620
		[Aux] Retiree Faculty		Retiree-Faculty	7286
		[Aux] Retiree Faculty Emeritus		Retiree-Faculty Emeritus	7284
		[Aux] Clinical House Staff 1-100% FTE	Instructor	Instr Clinical House Staff	3184
		[Aux] Clinical Staff Trainee 1-100% FTE		Instr Clinical Staff Trainee	3185
		[Aux] Lecturer Benefits Eligible 1-100% FTE	Lecturer, Senior Lecturer	Lecturer-BE, Senior Lecturer-BE	5555, 7567
		[Aux] Lecturer 1-100% FTE		Lecturer, Senior Lecturer	5550, 7563

Common Abbreviations Used in this Document

ACE	American Council on Education	OIA	Office of International Affairs
ADA	Americans with Disabilities Act	OMA	Office of Minority Affairs
APT	Appointments, promotion, and tenure	ORRP	Office of Responsible Research Practices
B&F	Business and Finance, Office of	OSURF	Ohio State University Research Foundation
BOT	Board of Trustees	OTLC	Office of Technology Licensing and Commercialization
CAFR	Committee on Academic Freedom and Responsibility	P&T	Promotion and tenure
CIO	Chief Information Officer	POA	Pattern of Administration
COAM	Committee on Academic Misconduct	POD	Procedures Oversight Designee
DOL	Department of Labor	RCT	Regular clinical track
EHS	Environmental Health and Safety, Office of	RRT	Regular research track
FERPA	Family Educational Rights and Privacy Act	RTT	Regular tenure track
FHAP	Faculty Hiring Assistance Plan	SEI	Student Evaluation of Instruction
FPL	Faculty Professional Leave	SRA	Special Research Assignment
FTAD	Faculty and TA Development, Office of	TIU	Tenure initiating unit
FTE	Full time equivalent		
GL	General Ledger		
IRP	Institutional Research and Planning, Office of		
IUC	Inter-University Council		
LOA	Leave of Absence		
OAA	Office of Academic Affairs		
ODS	Office of Disability Services		
OHR	Office of Human Resources		

OAA Handbook

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